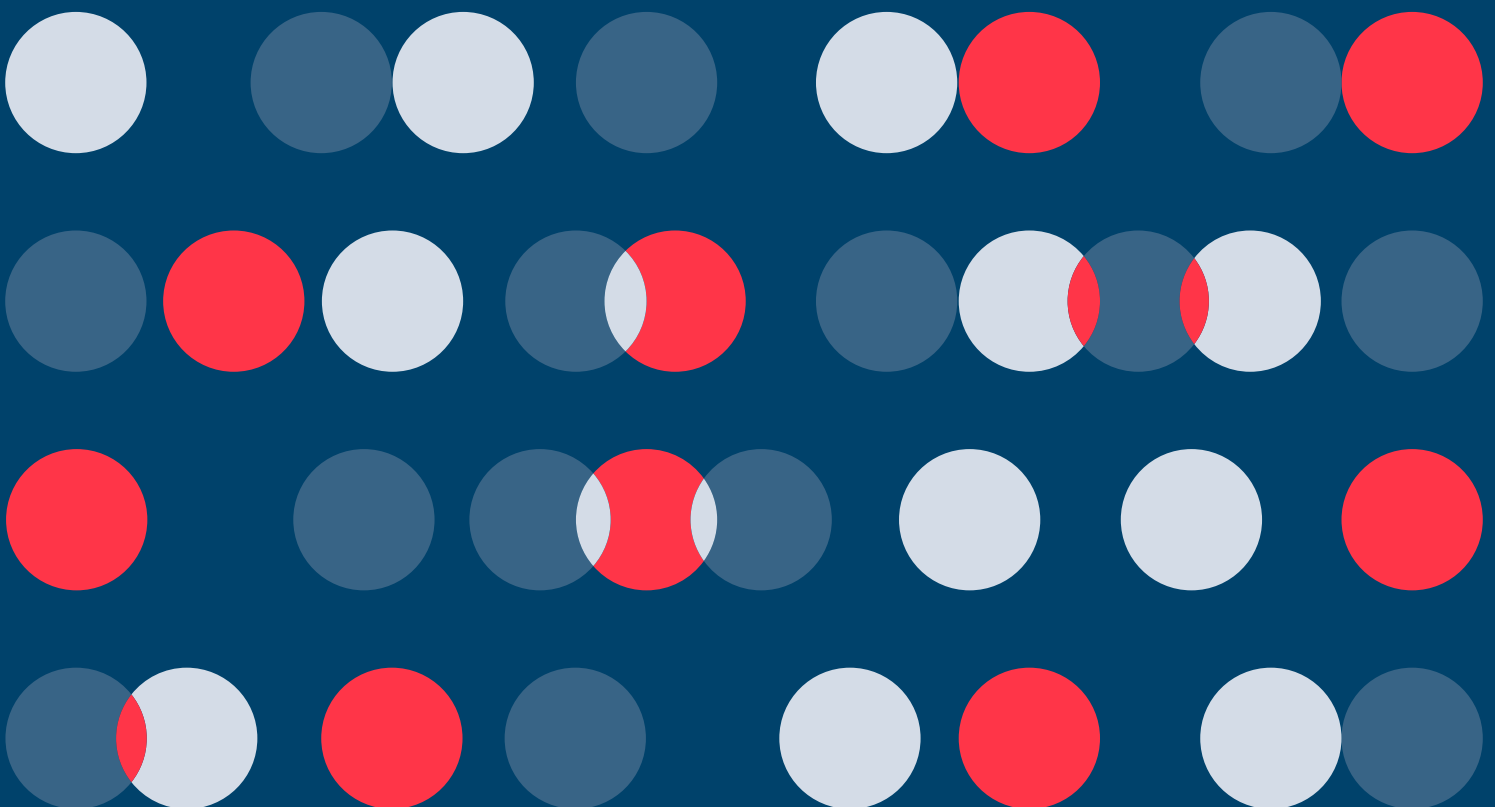


# SECURITIES AND DERIVATIVES MARKETS QUARTERLY REPORT

First Quarter 2016



# MARKET HIGHLIGHTS

## Main Board

| Highlights                              | 1st Quarter 2016   | 1st Quarter 2015   |
|---|--------------------|--------------------|
| No. of listed companies                 | 1,656              | 1,565              |
| No. of listed securities                | 8,392              | 8,834              |
| Equities                                |                    |                    |
| Ordinary shares                         | 1,657              | 1,566              |
| Preference shares                       | 8                  | 6                  |
| Warrants                                | 4,196              | 4,818              |
| Equity                                  | 12                 | 12                 |
| Derivative                              | 4,184              | 4,806              |
| Equity linked instrument                | 0                  | 0                  |
| Callable bull/bear contracts            | 1,613              | 1,641              |
| Unit trusts/mutual funds                | 149                | 138                |
| Debt securities                         | 769                | 665                |
| No. of trading only stocks              |                    |                    |
| Nasdaq stocks                           | 6                  | 7                  |
| iShares                                 | 2                  | 2                  |
| No. of trading days                     | 59                 | 61                 |
| Total turnover in value (HK\$ mil.) *   | 4,262,404.49       | 5,240,239.32       |
| Total turnover in shares (Mil. shs)     | 12,958,166.14      | 11,390,784.22      |
| Total number of trades (deals)          | 69,912,665         | 72,556,007         |
| Total market capitalisation (HK\$ mil.) | 23,195,583.34      | 26,534,266.95      |
| Average P/E ratio (times)               | 10.14              | 10.90              |
| Average dividend yield (%)              | 3.56               | 3.10               |
| Number of exchange participants         |                    |                    |
| – Trading                               | 526                | 500                |
| – Non-trading                           | 33                 | 36                 |
| Turnover in value (HK\$ mil.)           |                    |                    |
| Highest                                 | 107,199.72 (07/01) | 148,923.55 (31/03) |
| Lowest                                  | 54,246.46 (10/03)  | 46,715.84 (17/02)  |
| Turnover in shares (Mil. shs)           |                    |                    |
| Highest                                 | 299,010.95 (20/01) | 246,004.16 (22/01) |
| Lowest                                  | 164,211.59 (11/03) | 92,542.49 (02/01)  |
| Total number of trades (deals)          |                    |                    |
| Highest                                 | 1,652,054 (07/01)  | 1,917,607 (31/03)  |
| Lowest                                  | 939,682 (05/02)    | 706,185 (17/02)    |

\* Included turnover value traded in non-HKD currency securities.

# MARKET HIGHLIGHTS

## Growth Enterprise Market (GEM)

| Highlights                              | 1st Quarter 2016 | 1st Quarter 2015 |
|---|------------------|------------------|
| No. of listed companies                 | 227              | 210              |
| No. of listed securities                | 229              | 210              |
| Equities                                | 227              | 210              |
| Warrants                                | 2                | 0                |
| No. of trading days                     | 59               | 61               |
| Total turnover in value (HK\$ mil.) *   | 25,669.47        | 31,767.18        |
| Total turnover in shares (Mil. shs)     | 85,659.35        | 74,102.98        |
| Total number of trades (deals)          | 731,277          | 912,664          |
| Total market capitalisation (HK\$ mil.) | 248,978.34       | 207,611.93       |
| Average P/E ratio (times)               | 57.93            | 60.53            |
| Average dividend yield (%)              | 0.30             | 0.63             |
| Turnover in value (HK\$ mil.)           |                  |                  |
| Highest                                 | 714.28 (23/03)   | 927.12 (24/03)   |
| Lowest                                  | 293.89 (14/03)   | 214.00 (23/02)   |
| Turnover in shares (Mil. shs)           |                  |                  |
| Highest                                 | 4,254.12 (23/03) | 2,345.86 (13/03) |
| Lowest                                  | 788.91 (15/02)   | 475.85 (23/02)   |
| Total number of trades (deals)          |                  |                  |
| Highest                                 | 23,086 (23/03)   | 31,517 (15/01)   |
| Lowest                                  | 8,185 (11/02)    | 7,321 (17/02)    |

\* Included turnover value traded in non-HKD currency securities.

# MARKET HIGHLIGHTS

## Derivatives Market Highlights

| Highlights  | 1st Quarter 2016 | 1st Quarter 2015 |
|---|------------------|------------------|
| <b>All futures and options products (excluding stock options)</b> |                  |                  |
| No. of trading days   | 59.0             | 61.0             |
| Total contract volume   | 30,221,499       | 18,870,729       |
| Equity index products   | 29,939,552       | 18,625,326       |
| Equity products   | 92,936           | 168,602          |
| Interest rates products   | 12               | 80               |
| RMB Currency Futures  | 184,531          | 58,303           |
| Gold Futures #  | -                | 0                |
| London Metal Mini Futures   | 4,468            | 18,418           |
| Average daily contract volume                                     | 512,229          | 309,356          |
| Total open interest as at the quarter end (contracts)             | 3,170,906        | 1,857,234        |
| Equity index products   | 3,135,347        | 1,826,327        |
| Equity products   | 7,121            | 17,347           |
| Interest rates products   | 0                | 35               |
| RMB Currency Futures  | 28,215           | 12,949           |
| Gold Futures #  | -                | 0                |
| London Metal Mini Futures   | 223              | 576              |

# Trading in Gold Futures suspended with effect from 27 May 2015

|   |            |            |
|---|------------|------------|
| <b>Stock options</b>                                  |            |            |
| No. of newly introduced stock options classes         | 0          | 0          |
| No. of stock options as at the quarter end            |            |            |
| Class   | 84         | 80         |
| Series  | 29,288     | 22,764     |
| Total premium (HK\$ mil.)                             | 11,846.68  | 17,410.66  |
| Call  | 4,099.73   | 9,284.26   |
| Put   | 7,746.95   | 8,126.40   |
| Average daily premium (HK\$ mil.)                     | 200.79     | 285.42     |
| Total contract volume                                 | 17,289,771 | 22,162,657 |
| Call  | 8,197,431  | 11,465,247 |
| Put   | 9,092,340  | 10,697,410 |
| Average daily contract volume                         | 293,047    | 363,322    |
| Total open interest as at the quarter end (contracts) | 5,368,449  | 6,545,827  |
| Call  | 2,661,499  | 3,322,929  |
| Put   | 2,706,950  | 3,222,898  |
| Total number of trades                                | 750,314    | 960,023    |
| Average daily number of trades                        | 12,717     | 15,738     |
| Total contracts exercised                             | 1,853,205  | 2,333,192  |
| Average premium per contract (HK\$)                   | 685.18     | 785.59     |
| Average contract per trade (contracts)                | 23         | 23         |
| Put volume/call volume                                | 1.11       | 0.93       |
| Average daily contract volume/open interest           | 5.5%       | 5.6%       |

|   |            |            |
|---|------------|------------|
| <b>All futures and options products</b>               |            |            |
| Total contract volume                                 | 47,511,270 | 41,033,386 |
| Total open interest as at the quarter end (contracts) | 8,539,355  | 8,403,061  |

# MARKET HIGHLIGHTS

## Clearing and Settlement Statistics

| Securities Market   | 1st Quarter 2016 | 1st Quarter 2015 |
|---|------------------|------------------|
| <b>Average Daily Exchange Trades Handled by CCASS</b>   |                  |                  |
| - Number of trades  | 1,196,563        | 1,182,398        |
| - Value of trades (HK\$bil.)  | 72.6             | 85.0             |
| - Share quantity Involved (bil shares)  | 221.1            | 187.7            |
| <b>Average Daily Settlement Instructions ("SIs") Settled by CCASS</b>                                 |                  |                  |
| - Number of SIs   | 85,208           | 90,242           |
| - Value of SIs (HK\$bil.)   | 170.1            | 209.8            |
| - Share quantity involved (bil. Shares)   | 47.1             | 45.0             |
| <b>Average Daily Investor SIs ("ISIs") Settled by CCASS</b>   |                  |                  |
| - Number of ISIs  | 249              | 401              |
| - Value of ISIs (HK\$mil.)  | 89.2             | 165.4            |
| - Share quantity involved (mil. shares)   | 129.9            | 49.5             |
| Average Daily Settlement Efficiency of CNS Stock Positions on Due Day (T+2) (%)                       | 99.93            | 99.93            |
| Average Daily Settlement Efficiency of CNS Stock Positions on the Day following the Due Day (T+3) (%) | 99.99            | 99.99            |
| <b>Average Daily Buy-ins Executed on T+3</b>  |                  |                  |
| - Number of brokers involved  | 3                | 4                |
| - Number of buy-ins   | 3                | 4                |
| - Value of buy-ins (HK\$mil)  | 1.5              | 2.6              |
| <b>Shares Deposited in the CCASS Depository *</b>   |                  |                  |
| - Number of shares (bil shares)   | 5,558.0          | 4,489.3          |
| - Percentage of total issued shares of the admitted securities  | 74.67            | 71.67            |
| - Value of shares (HK\$bil)   | 14,395.9         | 15,975.6         |
| - Percentage of the total market capitalisation of the admitted securities                            | 56.61            | 54.46            |
| <b>Derivatives Market</b>   |                  |                  |
| <b>Open Interest</b>  |                  |                  |
| - Equity Index Futures  | 644,456          | 490,485          |
| - Stock Futures   | 7,121            | 17,347           |
| - Gold Futures ^  | 0                | 0                |
| - Interest Rates Futures  | 0                | 35               |
| - RMB Currency Futures  | 28,215           | 12,949           |
| - London Metal Mini Futures #   | 223              | 576              |
| - Equity Index Options  | 2,490,891        | 1,335,842        |
| - Stock Options   | 5,368,449        | 6,545,827        |
| <b>Cumulative Stock Options Exercised</b>   |                  |                  |
| - Share quantity involved (mil. shs)  | 2,116            | 2,814            |
| - Value of shares (HK\$bil.)  | 33               | 53               |

\* Share quantity and market value of securities in non-HKD currency are included

^ Trading in Gold Futures suspended with effect from 27 May 2015

# Trading in London Metal Mini Futures commenced on 01 Dec 2014

# MAIN BOARD EQUITIES

## Equity Turnover

|      |    | Share<br>(Mil. shs) | Value<br>(HK\$ mil.) | No. of deals |
|------|----|---------------------|----------------------|--------------|
| 2015 | Q1 | 774,786.99          | 3,405,759.83         | 56,467,243   |
|      | Q2 | 2,486,785.70        | 6,796,873.72         | 94,261,256   |
|      | Q3 | 1,241,453.02        | 4,136,147.76         | 73,808,111   |
|      | Q4 | 944,007.06          | 2,888,836.92         | 56,185,286   |
| 2016 | Q1 | 862,976.22          | 2,639,071.92         | 55,813,607   |

## Equity Trading Statistics

|      |    | No. of<br>trading days | Average daily<br>turnover (HK\$ mil.) | Average<br>value per deal |
|------|----|------------------------|---------------------------------------|---------------------------|
| 2015 | Q1 | 61                     | 55,832.13                             | 60,314                    |
|      | Q2 | 60                     | 113,281.23                            | 72,107                    |
|      | Q3 | 63                     | 65,653.14                             | 56,039                    |
|      | Q4 | 63                     | 45,854.55                             | 51,416                    |
| 2016 | Q1 | 59                     | 44,730.03                             | 47,284                    |

# MAIN BOARD EQUITIES

## 20 Most Advanced Stocks

for 1st quarter 2016

| Rank | Code  | Stock           | Closing price   |                 | % up   |
|------|-------|-----------------|-----------------|-----------------|--------|
|      |       |                 | End of Mar 2016 | End of Dec 2015 |        |
| 1    | 02323 | TOPSEARCH INT'L | 3.240           | 0.980           | 230.61 |
| 2    | 03966 | MASTERCRAFT I   | 3.040           | 1.450           | 109.66 |
| 3    | 01069 | CA LOW-CARBON   | 0.350           | 0.183           | 91.26  |
| 4    | 00802 | RCG             | 0.510           | 0.270           | 88.89  |
| 5    | 01568 | SUNDART HLDGS   | 3.470           | 1.880           | 84.57  |
| 6    | 02322 | NOBLE CENTURY   | 6.550           | 3.630           | 80.44  |
| 7    | 01421 | KINGBO STRIKE   | 3.420           | 1.900           | 80.00  |
| 8    | 01112 | BIOSTIME        | 28.500          | 15.980          | 78.35  |
| 9    | 03889 | GLOBAL SWEET    | 0.310           | 0.176           | 76.14  |
| 10   | 00251 | SEA HOLDINGS    | 21.050          | 12.000          | 75.42  |
| 11   | 00847 | KAZ MINERALS-S  | 18.760          | 10.980          | 70.86  |
| 12   | 00520 | XIABUXIABU      | 5.200           | 3.060           | 69.93  |
| 13   | 01386 | WALKER GROUP    | 1.650           | 0.980           | 68.37  |
| 14   | 00426 | ONE MEDIA GROUP | 1.420           | 0.850           | 67.06  |
| 15   | 01303 | HUILI RES       | 1.440           | 0.870           | 65.52  |
| 16   | 00805 | GLENORE-S       | 16.600          | 10.200          | 62.75  |
| 17   | 00572 | CENT WEALTH FIN | 0.300           | 0.186           | 61.29  |
| 18   | 00660 | WAI CHUN MINING | 0.113           | 0.072           | 56.94  |
| 19   | 00033 | HARMONIC STR    | 0.177           | 0.113           | 56.64  |
| 20   | 02698 | WEIQIAO TEXTILE | 5.590           | 3.630           | 53.99  |

A Adjusted

## 20 Most Declined Stocks

for 1st quarter 2016

| Rank | Code  | Stock           | Closing price   |                 | % down   |
|------|-------|-----------------|-----------------|-----------------|----------|
|      |       |                 | End of Mar 2016 | End of Dec 2015 |          |
| 1    | 00911 | HANGFAT GINSENG | 0.049           | 0.700           | -93.00   |
| 2    | 01323 | NEWTREE GROUP   | 0.380           | 2.610           | -85.44   |
| 3    | 00943 | EFORCE HOLDINGS | 0.120           | 0.750           | -84.00   |
| 4    | 00928 | TACK FIORI      | 0.325           | 2.000           | -83.75   |
| 5    | 00975 | MONGOL MINING   | 0.046           | 0.175           | -73.71   |
| 6    | 03788 | CHINA HANKING   | 1.080           | 3.820           | -71.73   |
| 7    | 02211 | UNI HEALTH      | 0.850           | 3.000           | -71.67   |
| 8    | 00431 | G CHINA FIN     | 0.400           | 1.400           | -71.43   |
| 9    | 00307 | UP ENERGY DEV   | 0.153           | 0.445           | -65.62   |
| 10   | 01733 | WINSWAY         | 0.052           | 0.145           | -64.14   |
| 11   | 00275 | HANNY HOLDINGS  | 0.285           | 0.787           | A -63.79 |
| 12   | 00616 | EASYKNIT ENT    | 0.138           | 0.365           | -62.19   |
| 13   | 01831 | SHIFANG HLDG    | 0.940           | 2.360           | -60.17   |
| 14   | 00283 | GOLDIN PPT      | 3.730           | 8.940           | -58.28   |
| 15   | 01305 | WAI CHI HOLD    | 1.580           | 3.680           | -57.07   |
| 16   | 06108 | NEW RAY MED-NEW | 0.460           | 1.050           | A -56.19 |
| 17   | 01685 | BOER POWER      | 6.120           | 13.960          | -56.16   |
| 18   | 03882 | SKYLIGHT HLDG   | 1.120           | 2.500           | -55.20   |
| 19   | 00362 | C ZENITH CHEM   | 0.325           | 0.710           | -54.23   |
| 20   | 01613 | SYNERTONE       | 0.204           | 0.444           | A -54.05 |

A Adjusted

# MAIN BOARD EQUITIES

## 20 Most Active Stocks by Value

for 1st quarter 2016

| Rank         | Code  | Stock           | Turnover (HK\$ mil.) | % of total   |
|--------------|-------|-----------------|----------------------|--------------|
| 1            | 00700 | TENCENT         | 170,839.34           | 6.47         |
| 2            | 02318 | PING AN         | 84,104.23            | 3.19         |
| 3            | 00005 | HSBC HOLDINGS   | 83,613.96            | 3.17         |
| 4            | 01299 | AIA             | 77,780.91            | 2.95         |
| 5            | 00941 | CHINA MOBILE    | 74,868.45            | 2.84         |
| 6            | 00939 | CCB             | 72,250.90            | 2.74         |
| 7            | 02628 | CHINA LIFE      | 69,177.28            | 2.62         |
| 8            | 00388 | HKEX            | 63,073.24            | 2.39         |
| 9            | 01398 | ICBC            | 61,127.58            | 2.32         |
| 10           | 03988 | BANK OF CHINA   | 57,113.82            | 2.16         |
| 11           | 00883 | CNOOC           | 41,396.93            | 1.57         |
| 12           | 00688 | CHINA OVERSEAS  | 38,371.45            | 1.45         |
| 13           | 00001 | CKH HOLDINGS    | 34,190.40            | 1.30         |
| 14           | 01928 | SANDS CHINA LTD | 33,645.80            | 1.27         |
| 15           | 00386 | SINOPEC CORP    | 28,077.50            | 1.06         |
| 16           | 00027 | GALAXY ENT      | 27,507.71            | 1.04         |
| 17           | 00857 | PETROCHINA      | 27,381.55            | 1.04         |
| 18           | 00016 | SHK PPT         | 26,113.69            | 0.99         |
| 19           | 03968 | CM BANK         | 24,506.38            | 0.93         |
| 20           | 01288 | ABC             | 22,673.78            | 0.86         |
| <b>Total</b> |       |                 | <b>1,117,814.87</b>  | <b>42.36</b> |

## 20 Most Active Stock by Shares

for 1st quarter 2016

| Rank         | Code  | Stock           | Turnover (Mil. shs) | % of total   |
|--------------|-------|-----------------|---------------------|--------------|
| 1            | 00261 | CCT LAND        | 69,841.31           | 8.09         |
| 2            | 00911 | HANGFAT GINSENG | 64,184.67           | 7.44         |
| 3            | 00397 | JUN YANG FIN    | 23,448.54           | 2.72         |
| 4            | 03988 | BANK OF CHINA   | 18,618.39           | 2.16         |
| 5            | 01246 | NGAISHUN HOLD   | 17,947.59           | 2.08         |
| 6            | 00939 | CCB             | 15,205.91           | 1.76         |
| 7            | 01398 | ICBC            | 14,996.04           | 1.74         |
| 8            | 01076 | IMPERIAL PAC    | 11,607.32           | 1.35         |
| 9            | 00981 | SMIC            | 9,500.85            | 1.10         |
| 10           | 01063 | SUNCORP TECH    | 9,075.00            | 1.05         |
| 11           | 00362 | C ZENITH CHEM   | 8,471.66            | 0.98         |
| 12           | 01288 | ABC             | 8,254.12            | 0.96         |
| 13           | 01051 | G-RESOURCES     | 6,659.72            | 0.77         |
| 14           | 00386 | SINOPEC CORP    | 6,310.70            | 0.73         |
| 15           | 00857 | PETROCHINA      | 5,618.68            | 0.65         |
| 16           | 01019 | CONVOY          | 5,579.86            | 0.65         |
| 17           | 00883 | CNOOC           | 5,195.37            | 0.60         |
| 18           | 00745 | CN CULTURE GP   | 5,068.54            | 0.59         |
| 19           | 00364 | PING SHAN TEA   | 4,956.54            | 0.57         |
| 20           | 00299 | NEW SPORTS      | 4,795.96            | 0.56         |
| <b>Total</b> |       |                 | <b>315,336.78</b>   | <b>36.54</b> |



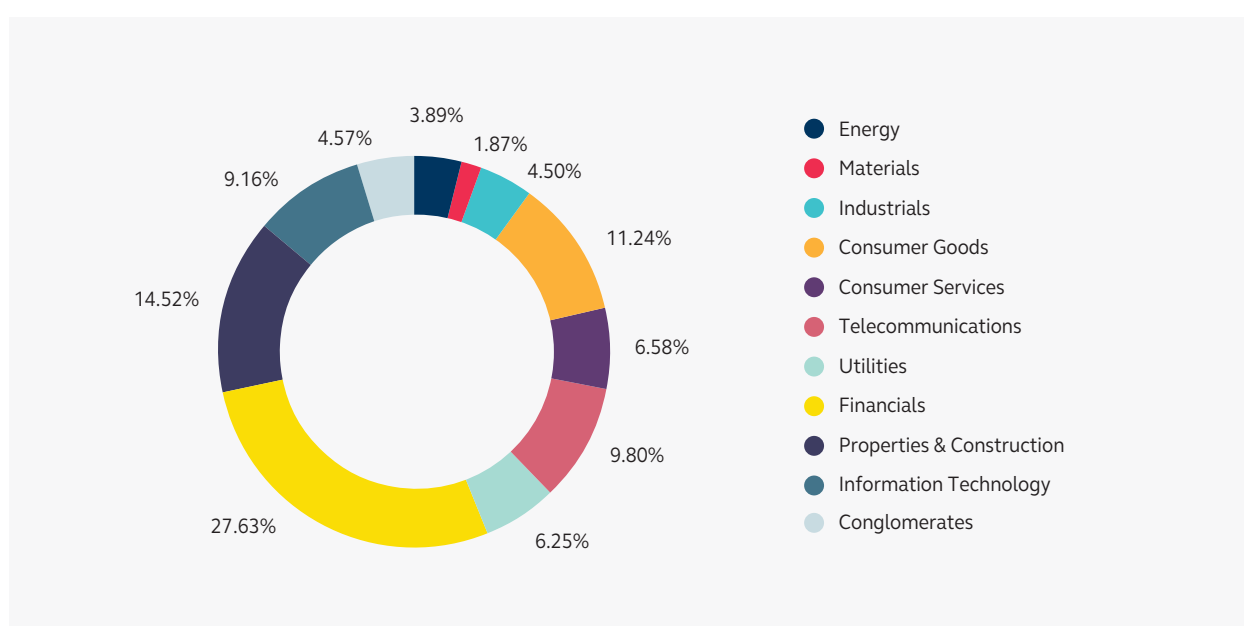
# MAIN BOARD EQUITIES

## Market Capitalisation of Listed Companies for Main Board

|      |    | HK\$ mil.     |
|------|----|---------------|
| 2015 | Q1 | 26,534,266.95 |
|      | Q2 | 28,754,383.61 |
|      | Q3 | 22,965,987.58 |
|      | Q4 | 24,425,554.96 |
| 2016 | Q1 | 23,195,583.34 |

## Market Capitalisation by Hang Seng Industry Classification System\* – Main Board

Quarter-end figures



\* Hang Seng Industry Classification System (HSICS) is provided by Hang Seng Indexes Company Limited.

Note: New Hang Seng Industry Classification System took effect on 9 September 2013.

# MAIN BOARD EQUITIES

## 50 Leading Companies by Market Capitalisation

as at the 1st quarter end 2016

| Rank                | Code  | Company   | Market capitalisation |                   |
|---------------------|-------|---|-----------------------|-------------------|
|                     |       |   | (HK\$ mil.)           | % of market total |
| 1                   | 00941 | China Mobile Ltd.                                       | 1,770,105.50          | 7.63              |
| 2                   | 00700 | Tencent Holdings Ltd.                                   | 1,489,624.35          | 6.42              |
| 3                   | 00939 | China Construction Bank Corporation – H Shares          | 1,190,065.73          | 5.13              |
| 4                   | 00005 | HSBC Holdings plc                                       | 955,756.97            | 4.12              |
| 5                   | 01299 | AIA Group Ltd.  | 529,524.95            | 2.28              |
| 6                   | 00883 | CNOOC Ltd.  | 408,970.70            | 1.76              |
| 7                   | 00001 | CK Hutchison Holdings Ltd.                              | 388,669.62            | 1.68              |
| 8                   | 01398 | Industrial and Commercial Bank of China Ltd. – H Shares | 376,686.15            | 1.62              |
| 9                   | 02378 | Prudential plc *  | –                     | 374,322.48        |
| 10                  | 00267 | CITIC Ltd.  | 343,265.10            | 1.48              |
| 11                  | 02318 | Ping An Insurance (Group) Co. of China Ltd. – H Shares  | 276,305.10            | 1.19              |
| 12                  | 00016 | Sun Hung Kai Properties Ltd.                            | 274,437.81            | 1.18              |
| 13                  | 03988 | Bank of China Ltd. – H Shares                           | 269,263.73            | 1.16              |
| 14                  | 00011 | Hang Seng Bank Ltd.                                     | 262,113.64            | 1.13              |
| 15                  | 01928 | Sands China Ltd.  | 254,993.73            | 1.10              |
| 16                  | 00762 | China Unicom (Hong Kong) Ltd.                           | 245,218.11            | 1.06              |
| 17                  | 02388 | BOC Hong Kong (Holdings) Ltd.                           | 244,759.86            | 1.06              |
| 18                  | 00688 | China Overseas Land & Investment Ltd.                   | 242,077.27            | 1.04              |
| 19                  | 00388 | Hong Kong Exchanges and Clearing Ltd.                   | 225,754.59            | 0.97              |
| 20                  | 00066 | MTR Corporation Ltd.                                    | 225,003.20            | 0.97              |
| 21                  | 00805 | Glencore plc *  | –                     | 220,172.53        |
| 22                  | 00945 | Manulife Financial Corporation *                        | –                     | 216,124.90        |
| 23                  | 01038 | Cheung Kong Infrastructure Holdings Ltd.                | 201,053.78            | 0.87              |
| 24                  | 01113 | Cheung Kong Property Holdings Ltd.                      | 192,790.94            | 0.83              |
| 25                  | 03328 | Bank of Communications Co., Ltd. – H Shares             | 178,560.50            | 0.77              |
| 26                  | 00002 | CLP Holdings Ltd.                                       | 177,230.51            | 0.76              |
| 27                  | 00006 | Power Assets Holdings Ltd.                              | 169,353.66            | 0.73              |
| 28                  | 02888 | Standard Chartered PLC                                  | 168,762.41            | 0.73              |
| 29                  | 00003 | Hong Kong and China Gas Co. Ltd., The                   | 167,633.74            | 0.72              |
| 30                  | 00566 | Hanergy Thin Film Power Group Ltd.                      | 163,231.16            | 0.70              |
| 31                  | 00012 | Henderson Land Development Co. Ltd.                     | 157,565.80            | 0.68              |
| 32                  | 02628 | China Life Insurance Co. Ltd. – H Shares                | 142,424.09            | 0.61              |
| 33                  | 01109 | China Resources Land Ltd.                               | 137,925.70            | 0.59              |
| 34                  | 00386 | China Petroleum & Chemical Corporation – H Shares       | 129,863.40            | 0.56              |
| 35                  | 00004 | Wharf (Holdings) Ltd., The                              | 128,515.56            | 0.55              |
| 36                  | 00027 | Galaxy Entertainment Group Ltd.                         | 123,988.64            | 0.53              |
| 37                  | 01972 | Swire Properties Ltd.                                   | 122,557.50            | 0.53              |
| 38                  | 00019 | Swire Pacific Ltd.                                      | 120,872.43            | 0.52              |
| 39                  | 00857 | PetroChina Co. Ltd. – H Shares                          | 108,870.32            | 0.47              |
| 40                  | 00656 | Fosun International Ltd.                                | 95,053.09             | 0.41              |
| 41                  | 01288 | Agricultural Bank of China Ltd. – H Shares              | 85,761.32             | 0.37              |
| 42                  | 00288 | WH Group Ltd.   | 82,324.13             | 0.35              |
| 43                  | 03333 | Evergrande Real Estate Group Ltd.                       | 81,918.31             | 0.35              |
| 44                  | 01044 | Hengan International Group Co. Ltd.                     | 81,749.22             | 0.35              |
| 45                  | 06823 | HKT Ltd.  | 80,866.21             | 0.35              |
| 46                  | 02601 | China Pacific Insurance (Group) Co., Ltd. – H Shares    | 80,483.70             | 0.35              |
| 47                  | 00023 | Bank of East Asia, Ltd., The                            | 76,586.92             | 0.33              |
| 48                  | 00083 | Sino Land Co. Ltd.                                      | 75,132.76             | 0.32              |
| 49                  | 03968 | China Merchants Bank Co., Ltd. – H Shares               | 74,831.69             | 0.32              |
| 50                  | 00151 | Want Want China Holdings Ltd.                           | 73,239.47             | 0.32              |
| <b>Total</b>        |       |   | <b>13,451,743.07</b>  | <b>57.99</b>      |
| <b>Market Total</b> |       |   | <b>23,195,583.34</b>  | <b>100.00</b>     |

Notes:

\* not included in Market Total

# MAIN BOARD EQUITIES

## Short Selling (value)

|      |    | Short selling turnover (HK\$ mil.) | Market turnover (HK\$ mil.) * | % of market total |
|------|----|------------------------------------|-------------------------------|-------------------|
| 2015 | Q1 | 502,684.62                         | 5,272,006.50                  | 9.53              |
|      | Q2 | 812,595.30                         | 9,894,068.82                  | 8.21              |
|      | Q3 | 673,434.03                         | 6,395,260.35                  | 10.53             |
|      | Q4 | 467,982.84                         | 4,529,285.89                  | 10.33             |
| 2016 | Q1 | 529,347.58                         | 4,288,073.96                  | 12.34             |

\* Included Market total for Main Board and GEM

## Short Selling (share)

|      |    | Short selling turnover (Mil. shs) | Market turnover (Mil. shs) * | % of market total |
|------|----|-----------------------------------|------------------------------|-------------------|
| 2015 | Q1 | 42,342.54                         | 11,464,887.20                | 0.37              |
|      | Q2 | 66,878.15                         | 14,614,838.29                | 0.46              |
|      | Q3 | 63,796.36                         | 14,314,202.23                | 0.45              |
|      | Q4 | 45,874.78                         | 13,299,980.60                | 0.34              |
| 2016 | Q1 | 54,180.01                         | 13,043,825.48                | 0.42              |

\* Included Market total for Main Board and GEM

## New Listing Companies Statistics

|      |    | No. of newly listed companies | No. of companies transferred from GEM * | Funds raised (HK\$ mil.) # |
|------|----|-------------------------------|---|----------------------------|
| 2015 | Q1 | 16                            | 3                                       | 19,653.73                  |
|      | Q2 | 16                            | 2                                       | 108,838.86                 |
|      | Q3 | 19                            | 7                                       | 26,086.55                  |
|      | Q4 | 39                            | 2                                       | 105,769.28                 |
| 2016 | Q1 | 13                            | 1                                       | 27,635.34                  |

\* Included only the transfers of listing from GEM to Main Board pursuant to the revised Rule 9.24 of GEM Listing Rules and to the new Chapter 9A of the Main Board Listing Rules effective from 1 July 2008

# All funds raised are attributed to the initial public offers of newly listed companies

# MAIN BOARD EQUITIES

## Newly Listed Companies

for 1st quarter 2016

| Code         | Company name                                    | Listing date | No. of issued shares | Funds raised (HK\$ mil.) |
|--------------|---|--------------|----------------------|--------------------------|
| 03326        | Perfect Group International Holdings Ltd.       | 2016/01/04   | 450,000,000          | 104.63                   |
| 03773        | NNK Group Ltd.                                  | 2016/01/07   | 415,000,000          | 115.00                   |
| 01459        | Jujiang Construction Group Co., Ltd. – H Shares | 2016/01/12   | 133,360,000          | 180.04                   |
| 03301        | Ronshine China Holdings Ltd.                    | 2016/01/13   | 1,352,348,000        | 1,821.59                 |
| 01565        | Virscend Education Co. Ltd.                     | 2016/01/15   | 3,088,761,000        | 2,013.03                 |
| 03963        | China Rongzhong Financial Holdings Co. Ltd.     | 2016/01/28   | 412,509,000          | 237.39                   |
| 02768        | Jiayuan International Group Ltd.                | 2016/03/08   | 1,867,500,000        | 1,283.40                 |
| 06833        | Sinco Pharmaceuticals Holdings Ltd.             | 2016/03/10   | 1,615,220,000        | 332.18                   |
| 02138        | Union Medical Healthcare Ltd.                   | 2016/03/11   | 980,827,000          | 744.86                   |
| 01557        | K. H. Group Holdings Ltd.                       | 2016/03/18   | 400,000,000          | 95.00                    |
| 01578        | Bank of Tianjin Co., Ltd. – H Shares            | 2016/03/30   | 1,721,144,563        | 7,356.75                 |
| 02016        | China Zheshang Bank Co., Ltd. – H Shares        | 2016/03/30   | 3,300,000,000        | 13,068.00                |
| 03638        | Goldenmars Technology Holdings Ltd. *           | 2016/03/30   | 293,880,000          | –                        |
| 02239        | SMIT Holdings Ltd.                              | 2016/03/30   | 300,000,000          | 283.50                   |
| <b>Total</b> |   |              |                      | <b>27,635.34</b>         |

\* Transfers of listing from GEM to Main Board pursuant to the revised Rule 9.24 of the GEM Listing Rules and to the new Chapter 9A of the Main Board Listing Rules effective from 1 July 2008.

# MAIN BOARD EQUITIES

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## Withdrawal of Listed Companies

for 1st quarter 2016

| Code  | Company name                          | Last trading date | Delisted date |
|-------|---------------------------------------|-------------------|---------------|
| 01025 | Wumart Stores, Inc. - H Shares        | 2015/12/30        | 2016/01/07    |
| 00773 | China Metal Recycling (Holdings) Ltd. | 2013/01/25        | 2016/02/04    |

# MAIN BOARD EQUITIES

## Company Name Changes

for 1st quarter 2016

| Code  | Old name   | New name   | Effective date | Adoption date |
|-------|--|--|----------------|---------------|
| 00756 | China Tianyi Holdings Ltd.                         | Tianyi (Summi) Holdings Ltd.                                 | 2015/11/12     | 2016/01/08    |
| 00877 | O-Net Communications (Group) Ltd.                  | O-Net Technologies (Group) Ltd.                              | 2015/12/04     | 2016/01/08    |
| 01001 | Van Shung Chong Holdings Ltd.                      | Hong Kong Shanghai Alliance Holdings Ltd.                    | 2015/12/04     | 2016/01/18    |
| 00378 | CIAM Group Ltd.                                    | FDG Kinetic Ltd.   | 2015/12/17     | 2016/01/21    |
| 00587 | Hua Han Bio-Pharmaceutical Holdings Ltd.           | Hua Han Health Industry Holdings Ltd.                        | 2015/12/21     | 2016/01/29    |
| 01103 | Shanghai Tonva Petrochemical Co., Ltd. – H Shares  | Shanghai Dasheng Agriculture Finance Technology Co, Ltd-H Sh | 2016/01/04     | 2016/02/01    |
| 01010 | PacMOS Technologies Holdings Ltd.                  | PacRay International Holdings Ltd.                           | 2015/12/18     | 2016/02/05    |
| 01115 | Tibet 5100 Water Resources Holdings Ltd.           | Tibet Water Resources Ltd.                                   | 2015/12/30     | 2016/02/05    |
| 02889 | China Nickel Resources Holdings Co. Ltd.           | Nickel Resources International Holdings Co. Ltd.             | 2016/01/18     | 2016/02/16    |
| 00572 | China For You Group Co. Ltd.                       | Central Wealth Financial Group Ltd.                          | 2016/01/19     | 2016/02/17    |
| 00209 | Winshine Entertainment & Media Holding Co. Ltd.    | Winshine Science Co. Ltd.                                    | 2016/01/07     | 2016/02/17    |
| 00620 | UDL Holdings Ltd.                                  | DTXS Silk Road Investment Holdings Co. Ltd.                  | 2016/01/27     | 2016/02/18    |
| 00640 | Infinity Chemical Holdings Co. Ltd.                | Infinity Development Holdings Co. Ltd.                       | 2016/01/11     | 2016/02/22    |
| 00872 | Jinheng Automotive Safety Technology Holdings Ltd. | TUS International Ltd.                                       | 2016/01/28     | 2016/02/25    |
| 00383 | COL Capital Ltd.                                   | China Medical & HealthCare Group Ltd.                        | 2016/01/04     | 2016/02/29    |
| 00904 | China Culiangwang Beverages Holdings Ltd.          | China Green (Holdings) Ltd.                                  | 2016/01/28     | 2016/03/01    |
| 00379 | PME Group Ltd.                                     | China Ever Grand Financial Leasing Group Co., Ltd.           | 2016/01/21     | 2016/03/01    |
| 01908 | South West Eco Development Ltd.                    | C&D International Investment Group Ltd.                      | 2015/12/29     | 2016/03/01    |
| 00711 | Chun Wo Development Holdings Ltd.                  | China City Construction Group Holdings Ltd.                  | 2016/01/25     | 2016/03/10    |
| 00231 | Madex International (Holdings) Ltd.                | Ping An Securities Group (Holdings) Ltd.                     | 2016/01/25     | 2016/03/10    |
| 01830 | Perfect Shape (PRC) Holdings Ltd.                  | Perfect Shape Beauty Technology Ltd.                         | 2016/02/23     | 2016/03/14    |
| 00438 | IRICO Group Electronics Co. Ltd. – H Shares        | IRICO Group New Energy Co. Ltd. – H Shares                   | 2016/01/28     | 2016/03/23    |
| 01225 | Lerado Group (Holding) Co. Ltd.                    | Lerado Financial Group Co. Ltd.                              | 2016/02/15     | 2016/03/23    |
| 00651 | China Ocean Shipbuilding Industry Group Ltd.       | China Ocean Industry Group Ltd.                              | 2016/02/26     | 2016/03/24    |
| 01143 | Telefield International (Holdings) Ltd.            | China Healthcare Enterprise Group Ltd.                       | 2016/02/04     | 2016/03/29    |
| 03898 | Zhuzhou CSR Times Electric Co., Ltd. – H Shares    | Zhuzhou CRRC Times Electric Co., Ltd. – H Shares             | 2016/03/18     | 2016/03/31    |

# MAIN BOARD EQUITIES

## Bonus Issues/Bonus Warrants

for 1st quarter 2016

| Code  | Company                         | Particulars    | Ex-date    |
|-------|---------------------------------|----------------|------------|
| 00361 | Sino Golf Holdings Ltd.         | 4 for 1        | 2016/01/11 |
| 00474 | Hao Tian Development Group Ltd. | 1 for 10       | 2016/01/21 |
| 01141 | Skyway Securities Group Ltd.    | 1 wt for 5     | 2016/01/25 |
| 00471 | CMMB Vision Holdings Ltd.       | 1 for 1 rts sh | 2016/03/17 |

## Share Split/Consolidation

for 1st quarter 2016

| Code  | Company                                      | Particulars             | Effective date |
|-------|--|-------------------------|----------------|
| 00736 | China Properties Investment Holdings Ltd.    | Consolidation 5 into 1  | 2016/01/12     |
| 00905 | Global Mastermind Capital Ltd.               | Consolidation 4 into 1  | 2016/01/12     |
| 01348 | Quali-Smart Holdings Ltd.                    | Split 1 into 4          | 2016/01/13     |
| 00485 | Shihua Development Co. Ltd.                  | Consolidation 4 into 1  | 2016/01/13     |
| 00318 | Vongroup Ltd.                                | Consolidation 40 into 1 | 2016/02/11     |
| 00243 | QPL International Holdings Ltd.              | Consolidation 4 into 1  | 2016/02/29     |
| 01082 | Hong Kong Education (Int'l) Investments Ltd. | Consolidation 5 into 1  | 2016/03/11     |
| 06108 | New Ray Medicine International Holding Ltd.  | Consolidation 5 into 1  | 2016/03/15     |
| 00897 | Wai Yuen Tong Medicine Holdings Ltd.         | Consolidation 20 into 1 | 2016/03/16     |
| 01046 | Universe International Holdings Ltd.         | Consolidation 10 into 1 | 2016/03/18     |
| 01613 | Synertone Communication Corporation          | Consolidation 5 into 1  | 2016/03/24     |
| 01101 | China Huarong Energy Co. Ltd.                | Consolidation 5 into 1  | 2016/03/29     |
| 00275 | Hanny Holdings Ltd.                          | Consolidation 10 into 1 | 2016/03/30     |

# MAIN BOARD EQUITIES

## Rights Issues & Open Offers

for 1st quarter 2016

| Month        | Code  | Company                                       | Ratio   | Funds raised (HK\$ mil.) |          |
|--------------|-------|---|---|--------------------------|----------|
| Jan          | 00262 | Deson Development International Holdings Ltd. | Open offer 1 for 2 @\$0.32                                    | 104.31                   |          |
|              | 00080 | China New Economy Fund Ltd.                   | Rts 1 for 2 @\$0.235  | 72.63                    |          |
|              | 01226 | China Investment and Finance Group Ltd.       | Open offer 8 for 1 @\$0.25<br>(after consolidation 5 into 1)  | 418.15                   |          |
|              | 00689 | EPI (Holdings) Ltd.                           | Rts 5 for 1 @\$0.14   | 509.50                   |          |
|              | 00149 | China Agri-Products Exchange Ltd.             | Rts 3 for 2 @\$0.42<br>(after consolidation 5 into 1)         | 293.16                   |          |
|              | 03800 | GCL-Poly Energy Holdings Ltd.                 | Rts 1 for 5 @\$1.12   | 3,469.68                 |          |
|              | 00910 | China Sandi Holdings Ltd.                     | Rts 2 for 1 @\$0.20   | 329.78                   |          |
|              | 00451 | GCL New Energy Holdings Ltd.                  | Rts 3 for 8 @\$0.45   | 2,340.87                 |          |
|              | Feb   | 00488   | Lai Sun Development Co. Ltd.                                  | Rts 1 for 2 @\$0.092     | 924.35   |
|              |       | 01378   | China Hongqiao Group Ltd.                                     | Rts 7 for 50 @\$4.31     | 3,842.58 |
| 00896        |       | Hanison Construction Holdings Ltd.            | Rts 1 for 2 @\$1.00   | 345.23                   |          |
| 00485        |       | Shihua Development Co. Ltd.                   | Open offer 4 for 1 @\$0.086<br>(after consolidation 4 into 1) | 251.17                   |          |
| Mar          | 02369 | Coolpad Group Ltd.                            | Rts 3 for 20 @\$1.10  | 718.51                   |          |
|              | 00715 | China Oceanwide Holdings Ltd.                 | Rts 1 for 2 @\$0.85   | 4,573.75                 |          |
|              | 00630 | AMCO United Holding Ltd.                      | Open offer 1 for 2 @\$0.13                                    | 80.72                    |          |
|              | 00243 | QPL International Holdings Ltd.               | Open offer 5 for 1 @\$0.32<br>(after consolidation 4 into 1)  | 368.34                   |          |
| <b>Total</b> |       |   |   | <b>18,642.73</b>         |          |



# MAIN BOARD EQUITIES

## Placing\*

| Month | Code           | Company         | No. of new shares placed | Placing price (HK\$) | Funds raised (HK\$ mil.) |
|-------|----------------|-----------------|--------------------------|----------------------|--------------------------|
| 2016  |                |                 |                          |                      |                          |
| Jan   | 00963          | BLOOMAGE BIOTEC | 9,687,500                | 12.0000              | 116.25                   |
|       | 01094          | C P PROCUREMENT | 50,000,000               | 0.2200               | 11.00                    |
|       | 00542          | CENERIC         | 3,750,000,000            | 0.1000               | 375.00                   |
|       | 00815          | CHI SILVER GP   | 50,000,000               | 1.7000               | 85.00                    |
|       | 01240          | CNQC INT'L      | 90,202,500               | 2.4000               | 216.49                   |
|       | 00339          | EARNEST INV     | 19,000,000               | 0.7000               | 13.30                    |
|       | 01808          | ENTERPRISE DEV  | 580,450,000              | 0.0980               | 56.88                    |
|       | 01262          | LABIXIAOXIN     | 200,000,000              | 0.7000               | 140.00                   |
|       | 01227          | NATIONAL INV    | 200,000,000              | 0.3200               | 64.00                    |
|       | 00850          | PETROASIAN      | 666,668,000              | 0.1300               | 86.67                    |
|       | 00482          | SANDMARTIN INTL | 152,500,000              | 0.5000               | 76.25                    |
|       | 00223          | SRGL            | 33,000,000               | 0.1530               | 5.05                     |
|       | 00990          | THEME INT'L     | 877,000,000              | 0.1400               | 122.78                   |
|       | 01327          | TIME2U          | 192,000,000              | 0.2300               | 44.16                    |
|       | 01178          | VITOP BIOENERGY | 1,600,000,000            | 0.1000               | 160.00                   |
|       | 00318          | VONGROUP        | 893,755,000              | 0.0481               | 42.99                    |
|       | Feb            | 01803           | ASR LOGISTICS            | 30,370,000           | 0.6500                   |
| 00810 |                | CH INTERNET INV | 63,192,000               | 0.3000               | 18.96                    |
| 01041 |                | CH NEW ENGY PWR | 190,500,000              | 0.1100               | 20.96                    |
| 00370 |                | CHINA BEST      | 2,000,000,000            | 0.1800               | 360.00                   |
| 06168 |                | CHINA U-TON     | 50,000,000               | 1.0000               | 50.00                    |
| 00354 |                | CHINASOFT INT'L | 85,109,515               | 2.8000               | 238.31                   |
| 01332 |                | CHNOE           | 575,063,972              | 0.1600               | 92.01                    |
| 02880 |                | DALIAN PORT     | 1,180,320,000            | 3.6700               | 4,331.77                 |
| 01103 |                | DASHENG AGR FIN | 1,500,000,000            | 0.8000               | 1,200.00                 |
| 00764 |                | ETERNITY INV    | 536,000,000              | 0.1250               | 67.00                    |
| 00729 |                | FDG EVEHICLES   | 1,000,000,000            | 0.4650               | 465.00                   |
| 00033 |                | HARMONIC STR    | 1,000,000,000            | 0.1000               | 100.00                   |
| 00419 |                | JIUHAO HEALTH   | 6,837,619,860            | 0.0800               | 547.01                   |
| 00885 |                | RENTIAN TECH    | 500,000,000              | 0.4200               | 210.00                   |
| 00747 |                | SHENYANG PUBLIC | 100,896,000              | 1.1900               | 120.07                   |
| 01831 |                | SHIFANG HLDG    | 200,000,000              | 0.8000               | 160.00                   |
| 00539 |                | VICTORY CITY    | 86,000,000               | 0.6500               | 55.90                    |
| 01315 | VISION FAME    | 900,000,000     | 0.3000                   | 270.00               |                          |
| Mar   | 01194          | C PRECIOUSMETAL | 1,513,043,477            | 0.2300               | 348.00                   |
|       | 01038          | CKI HOLDINGS    | 131,065,097              | 71.1302              | 9,322.69                 |
|       | 01103          | DASHENG AGR FIN | 534,400,000              | 0.8000               | 427.52                   |
|       | 00905          | GLOBAL M CAP    | 70,128,000               | 0.4000               | 28.05                    |
|       | 00585          | IMAGI INT'L     | 1,900,000,000            | 0.0900               | 171.00                   |
|       | 00295          | KONG SUN HOLD   | 5,177,000,000            | 0.6600               | 3,416.82                 |
| 01466 | MAN SANG JEWEL | 53,200,000      | 1.0500                   | 55.86                |                          |

## MAIN BOARD EQUITIES

| Month        | Code  | Company         | No. of new shares placed | Placing price (HK\$) | Funds raised (HK\$ mil.) |
|--------------|-------|-----------------|--------------------------|----------------------|--------------------------|
|              | 03966 | MASTERCRAFT I   | 25,200,000               | 2.4100               | 60.73                    |
|              | 00276 | MONGOLIA ENERGY | 9,170,183                | 0.1730               | 1.59                     |
|              | 02322 | NOBLE CENTURY   | 250,000,000              | 2.0000               | 500.00                   |
|              | 00061 | NORTH ASIA RES  | 38,000,000,000           | 0.0100               | 380.00                   |
|              | 02323 | TOPSEARCH INT'L | 200,000,000              | 0.9250               | 185.00                   |
| <b>Total</b> |       |                 |                          |                      | <b>24,839.79</b>         |

\* Due to the reporting time-lag, placing figures for the quarter are provisional.

# MAIN BOARD WARRANTS

## Warrant Trading Statistics

|      |    | Equity wts<br>(HK\$ mil.) | Derivative wts<br>(HK\$ mil.) | Total<br>(HK\$ mil.) |
|------|----|---------------------------|-------------------------------|----------------------|
| 2015 | Q1 | 1,242.98                  | 897,585.47                    | 898,828.45           |
|      | Q2 | 1,727.22                  | 1,721,585.57                  | 1,723,312.78         |
|      | Q3 | 723.63                    | 1,090,657.45                  | 1,091,381.08         |
|      | Q4 | 242.28                    | 794,250.41                    | 794,492.69           |
| 2016 | Q1 | 92.83                     | 915,484.74                    | 915,577.57           |

## Warrant Market Value

|      |    | Number | Equity wts<br>(HK\$ mil.) | Number | Derivative wts<br>(HK\$ mil.) | Total no. | Total<br>(HK\$ mil.) |
|------|----|--------|---------------------------|--------|-------------------------------|-----------|----------------------|
| 2015 | Q1 | 12     | 2,484.83                  | 4,806  | 148,902.89                    | 4,818     | 151,387.72           |
|      | Q2 | 14     | 4,383.11                  | 5,680  | 197,036.57                    | 5,694     | 201,419.68           |
|      | Q3 | 13     | 2,472.60                  | 5,633  | 84,057.90                     | 5,646     | 86,530.49            |
|      | Q4 | 12     | 1,836.69                  | 4,590  | 60,433.79                     | 4,602     | 62,270.48            |
| 2016 | Q1 | 12     | 1,444.55                  | 4,184  | 58,444.35                     | 4,196     | 59,888.90            |

## New Listing Statistics – Warrants

|      |    | No. of newly listed<br>equity wts | No. of newly listed<br>derivative wts | Amount raised<br>(HK\$ mil.) |
|------|----|-----------------------------------|---------------------------------------|------------------------------|
| 2015 | Q1 | 2                                 | 1,498                                 | 40,081.11                    |
|      | Q2 | 2                                 | 2,124                                 | 68,662.15                    |
|      | Q3 | 1                                 | 1,552                                 | 46,018.14                    |
|      | Q4 | 2                                 | 1,162                                 | 27,608.36                    |
| 2016 | Q1 | 2                                 | 1,276                                 | 31,890.47                    |

## Newly Listed Equity Warrants

for 1st quarter 2016

| Code         | Equity warrants                            | Initial issued<br>amount (HK\$) | Listing date | Expiry     | Amount raised<br>(HK\$ mil.) |
|--------------|--|---------------------------------|--------------|------------|------------------------------|
| 01562        | Sinoref Holdings Ltd. Warrants 2017        | 154,153,680                     | 2016/01/14   | 2017/07/12 | -                            |
| 01153        | Skyway Securities Group Ltd. Warrants 2017 | 252,364,025                     | 2016/02/15   | 2017/02/13 | -                            |
| <b>Total</b> |  |                                 |              |            | <b>-</b>                     |

# MAIN BOARD WARRANTS

## Newly Listed Derivative Warrants

for 1st quarter 2016

| Code  | Derivative warrants   | No. of<br>issue (units) | Listing date | Expiry     | Amount<br>raised<br>(HK\$ mil.) |
|-------|---|-------------------------|--------------|------------|---------------------------------|
| 24795 | Credit Suisse AG – Agricultural Bank European Wts Oct 2016 A    | 80,000,000              | 2016/01/04   | 2016/10/04 | 15.20                           |
| 24801 | Credit Suisse AG – BOC HK European Warrants Aug 2016 A          | 70,000,000              | 2016/01/04   | 2016/08/02 | 11.20                           |
| 24803 | Credit Suisse AG – BOC HK European Warrants Oct 2016 B          | 70,000,000              | 2016/01/04   | 2016/10/04 | 10.50                           |
| 24811 | Credit Suisse AG – BOCL European Warrants Sep 2016 A            | 80,000,000              | 2016/01/04   | 2016/09/29 | 12.00                           |
| 24794 | Credit Suisse AG – China Mobile European Warrants Jun 2016 A    | 80,000,000              | 2016/01/04   | 2016/06/23 | 33.60                           |
| 24793 | Credit Suisse AG – ChiUnicom European Warrants Oct 2017 A       | 100,000,000             | 2016/01/04   | 2017/10/30 | 15.00                           |
| 24786 | Credit Suisse AG – Fosun Intl European Warrants Jul 2016 B      | 80,000,000              | 2016/01/04   | 2016/07/08 | 13.60                           |
| 24818 | Credit Suisse AG – Galaxy Ent European Put Wts May 2016 B       | 60,000,000              | 2016/01/04   | 2016/05/27 | 12.00                           |
| 24774 | Credit Suisse AG – HKEX European Warrants Jul 2016 B            | 180,000,000             | 2016/01/04   | 2016/07/05 | 36.00                           |
| 24776 | Credit Suisse AG – HKEX European Warrants Nov 2016 A            | 180,000,000             | 2016/01/04   | 2016/11/02 | 27.00                           |
| 24780 | Credit Suisse AG – HKEX European Warrants Dec 2016 A            | 180,000,000             | 2016/01/04   | 2016/12/28 | 27.00                           |
| 24819 | Credit Suisse AG – HKEX European Put Warrants Jul 2016 C        | 150,000,000             | 2016/01/04   | 2016/07/29 | 22.50                           |
| 24817 | Credit Suisse AG – HSBC European Put Warrants Jul 2016 B        | 60,000,000              | 2016/01/04   | 2016/07/05 | 15.00                           |
| 24832 | Credit Suisse AG – HSCEI European Put Warrants Jun 2016 B       | 100,000,000             | 2016/01/04   | 2016/06/29 | 15.00                           |
| 24825 | Credit Suisse AG – HSI European Warrants Jul 2016 A             | 150,000,000             | 2016/01/04   | 2016/07/28 | 22.50                           |
| 24821 | Credit Suisse AG – HSI European Warrants Sep 2016 A             | 150,000,000             | 2016/01/04   | 2016/09/29 | 22.50                           |
| 24831 | Credit Suisse AG – HSI European Put Warrants Jun 2016 A         | 150,000,000             | 2016/01/04   | 2016/06/29 | 30.00                           |
| 24830 | Credit Suisse AG – HSI European Put Warrants Sep 2016 B         | 150,000,000             | 2016/01/04   | 2016/09/29 | 25.50                           |
| 24815 | Credit Suisse AG – Ping An European Warrants Jul 2016 A         | 80,000,000              | 2016/01/04   | 2016/07/05 | 20.00                           |
| 24764 | J P Morgan SP BV – A50 China European Warrants Jul 2016 B       | 100,000,000             | 2016/01/04   | 2016/07/04 | 39.90                           |
| 24763 | Macquarie Bank Ltd. – Evergrande European Wts Jan 2017 A        | 65,000,000              | 2016/01/04   | 2017/01/04 | 10.66                           |
| 24766 | SGA Societe Generale Acceptance N.V. – AIA Eur Wt Oct 2016 A    | 100,000,000             | 2016/01/04   | 2016/10/05 | 26.00                           |
| 24768 | SGA Societe Generale Acceptance N.V. – CLife Eu Wt Oct 2016 A   | 150,000,000             | 2016/01/04   | 2016/10/05 | 33.00                           |
| 24773 | SGA Societe Generale Acceptance N.V. – A50 Ch Eu Wt Apr 2017A   | 150,000,000             | 2016/01/04   | 2017/04/06 | 22.50                           |
| 24769 | SGA Societe Generale Acceptance N.V. – HSBC Eu Wt Oct 2016 A    | 100,000,000             | 2016/01/04   | 2016/10/05 | 25.00                           |
| 24771 | SGA Societe Generale Acceptance N.V. – HS H-SH Eu Put Wt Aug16B | 50,000,000              | 2016/01/04   | 2016/08/03 | 21.25                           |
| 24770 | SGA Societe Generale Acceptance N.V. – JIANG Eu Wt Mar 2017A    | 70,000,000              | 2016/01/04   | 2017/03/03 | 10.50                           |
| 24842 | Credit Suisse AG – CKH European Warrants Jun 2016 B             | 70,000,000              | 2016/01/05   | 2016/06/27 | 23.10                           |
| 24854 | Credit Suisse AG – CNOOC European Warrants Aug 2018 A           | 150,000,000             | 2016/01/05   | 2018/08/02 | 22.50                           |
| 24868 | Credit Suisse AG – Sinopec Corp European Warrants Aug 2016 A    | 80,000,000              | 2016/01/05   | 2016/08/03 | 20.00                           |
| 24869 | Credit Suisse AG – China Railway European Warrants Aug 2016 A   | 60,000,000              | 2016/01/05   | 2016/08/03 | 43.20                           |
| 24852 | Credit Suisse AG – China Tel European Warrants Jun 2016 A       | 70,000,000              | 2016/01/05   | 2016/06/30 | 10.50                           |
| 24861 | Credit Suisse AG – Geely Auto European Warrants Jul 2016 A      | 60,000,000              | 2016/01/05   | 2016/07/06 | 30.00                           |
| 24845 | Credit Suisse AG – Galaxy Ent European Warrants Jul 2016 A      | 80,000,000              | 2016/01/05   | 2016/07/04 | 13.60                           |
| 24866 | Credit Suisse AG – Jiangxi Copper European Wts Aug 2016 A       | 60,000,000              | 2016/01/05   | 2016/08/03 | 35.40                           |
| 24853 | Credit Suisse AG – PetroChina European Warrants Aug 2016 B      | 70,000,000              | 2016/01/05   | 2016/08/02 | 15.40                           |
| 24855 | Credit Suisse AG – SHK Ppt European Warrants Jul 2016 A         | 70,000,000              | 2016/01/05   | 2016/07/06 | 28.00                           |
| 24889 | Goldman Sachs SP (Asia) – CM Bank European Wts Jul 2016 A       | 100,000,000             | 2016/01/05   | 2016/07/29 | 21.90                           |
| 24877 | Goldman Sachs SP (Asia) – China Mobile Euro Wts Jul 2016 A      | 80,000,000              | 2016/01/05   | 2016/07/05 | 48.00                           |
| 24833 | Goldman Sachs SP (Asia) – CNOOC European Warrants Dec 2018 A    | 80,000,000              | 2016/01/05   | 2018/12/28 | 20.08                           |
| 24874 | Goldman Sachs SP (Asia) – HKEX European Warrants Jul 2016 B     | 300,000,000             | 2016/01/05   | 2016/07/05 | 75.30                           |
| 24872 | Goldman Sachs SP (Asia) – HSBC European Warrants Jul 2016 A     | 80,000,000              | 2016/01/05   | 2016/07/05 | 20.24                           |

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|-------|--|---------------|--------------|------------|---------------------------|
|       |  | issue (units) | Listing date | Expiry     |                           |
| 24887 | Goldman Sachs Sp (Asia) – ICBC European Warrants Jul 2016 B    | 100,000,000   | 2016/01/05   | 2016/07/29 | 25.00                     |
| 24880 | Goldman Sachs SP (Asia) – Ping An European Wts Jul 2016 A      | 80,000,000    | 2016/01/05   | 2016/07/05 | 34.88                     |
| 24888 | Goldman Sachs SP (Asia) – SHK Ppt European Wts Jul 2016 A      | 40,000,000    | 2016/01/05   | 2016/07/29 | 14.36                     |
| 24840 | Macquarie Bank Ltd. – BOCL European Put Warrants Jul 2016 A    | 25,000,000    | 2016/01/05   | 2016/07/05 | 10.00                     |
| 24835 | Macquarie Bank Ltd. – Ping An European Warrants Sep 2016 A     | 40,000,000    | 2016/01/05   | 2016/09/02 | 10.00                     |
| 24911 | Credit Suisse AG – BYD European Warrants Aug 2016 A            | 70,000,000    | 2016/01/06   | 2016/08/03 | 42.00                     |
| 24913 | Credit Suisse AG – BYD European Warrants Dec 2017 A            | 150,000,000   | 2016/01/06   | 2017/12/29 | 37.50                     |
| 24900 | Credit Suisse AG – CC Bank European Warrants Aug 2016 A        | 80,000,000    | 2016/01/06   | 2016/08/31 | 12.00                     |
| 24920 | Credit Suisse AG – China Cinda European Warrants Aug 2016 A    | 60,000,000    | 2016/01/06   | 2016/08/03 | 15.60                     |
| 24910 | Credit Suisse AG – China Life European Warrants Aug 2016 A     | 80,000,000    | 2016/01/06   | 2016/08/03 | 12.00                     |
| 24906 | Credit Suisse AG – CRCC European Warrants Jul 2016 A           | 70,000,000    | 2016/01/06   | 2016/07/05 | 10.50                     |
| 24924 | Credit Suisse AG – HS H-SHARE European Warrants Aug 2016 A     | 70,000,000    | 2016/01/06   | 2016/08/03 | 35.00                     |
| 24907 | Credit Suisse AG – PICC Group European Warrants May 2016 A     | 60,000,000    | 2016/01/06   | 2016/05/30 | 13.20                     |
| 24908 | Credit Suisse AG – Sands China European Warrants Jul 2016 A    | 80,000,000    | 2016/01/06   | 2016/07/22 | 13.60                     |
| 24914 | Credit Suisse AG – Stanchart European Warrants Aug 2016 A      | 70,000,000    | 2016/01/06   | 2016/08/03 | 35.00                     |
| 24899 | Goldman Sachs SP (Asia) – PICC European Warrants Sep 2016 A    | 80,000,000    | 2016/01/06   | 2016/09/30 | 20.00                     |
| 24892 | HK Bank – BOCL European Warrants Oct 2016 A                    | 80,000,000    | 2016/01/06   | 2016/10/31 | 20.00                     |
| 24895 | HK Bank – Minsheng Bank European Warrants Jul 2016 C           | 50,000,000    | 2016/01/06   | 2016/07/29 | 20.00                     |
| 24894 | HK Bank – Galaxy Ent European Warrants Oct 2016 A              | 60,000,000    | 2016/01/06   | 2016/10/31 | 18.00                     |
| 24896 | HK Bank – HS H-SHARE European Warrants Sep 2018 A              | 180,000,000   | 2016/01/06   | 2018/09/28 | 27.00                     |
| 24930 | BOCI Asia Ltd. – AIA European Warrants Jul 2016 A              | 100,000,000   | 2016/01/07   | 2016/07/11 | 28.00                     |
| 24925 | BOCI Asia Ltd. – HKEX European Warrants Sep 2016 A             | 100,000,000   | 2016/01/07   | 2016/09/12 | 16.00                     |
| 24928 | BOCI Asia Ltd. – Tencent Holdings European Wts Sep 2016 A      | 100,000,000   | 2016/01/07   | 2016/09/28 | 15.00                     |
| 24926 | BOCI Asia Ltd. – Tencent Holdings European Wts Dec 2016 C      | 100,000,000   | 2016/01/07   | 2016/12/28 | 17.00                     |
| 24944 | Credit Suisse AG – AIA European Warrants Jul 2016 B            | 80,000,000    | 2016/01/07   | 2016/07/06 | 12.00                     |
| 24958 | Credit Suisse AG – CKP European Warrants Jul 2016 A            | 70,000,000    | 2016/01/07   | 2016/07/06 | 18.20                     |
| 24945 | Credit Suisse AG – HSBC European Wts Jul 2016 C                | 80,000,000    | 2016/01/07   | 2016/07/05 | 12.00                     |
| 24954 | Credit Suisse AG – ICBC European Warrants Sep 2016 A           | 80,000,000    | 2016/01/07   | 2016/09/05 | 20.00                     |
| 24937 | Bank of East Asia – CGN Power European Warrants Dec 2016 B     | 20,000,000    | 2016/01/07   | 2016/12/16 | 10.60                     |
| 24934 | Bank of East Asia – CGS European Warrants Jun 2017 A           | 60,000,000    | 2016/01/07   | 2017/06/28 | 10.20                     |
| 24938 | Bank of East Asia – Minsheng Bank European Warrants Dec 2018 A | 80,000,000    | 2016/01/07   | 2018/12/10 | 20.00                     |
| 24933 | Bank of East Asia – Sinopec Corp European Warrants Jul 2016 A  | 65,000,000    | 2016/01/07   | 2016/07/06 | 10.40                     |
| 24931 | Bank of East Asia – PetroChina European Warrants Oct 2016 A    | 38,000,000    | 2016/01/07   | 2016/10/05 | 10.07                     |
| 24981 | Goldman Sachs SP (Asia) – BEA European Warrants Sep 2016 A     | 50,000,000    | 2016/01/07   | 2016/09/29 | 12.70                     |
| 24972 | Goldman Sachs SP (Asia) – CITIC European Warrants Mar 2017 A   | 100,000,000   | 2016/01/07   | 2017/03/30 | 26.00                     |
| 24970 | Goldman Sachs SP (Asia) – Ch Overseas European Wts Sep 2016 A  | 60,000,000    | 2016/01/07   | 2016/09/30 | 24.48                     |
| 24976 | Goldman Sachs SP (Asia) – A50 China European Wts Jul 2016 A    | 60,000,000    | 2016/01/07   | 2016/07/29 | 68.82                     |
| 24980 | Goldman Sachs SP (Asia) – HS Bank European Warrants Sep 2016 A | 30,000,000    | 2016/01/07   | 2016/09/29 | 20.94                     |
| 24978 | Goldman Sachs SP (Asia) – HS H-SHARE European Wts Jul 2016 A   | 80,000,000    | 2016/01/07   | 2016/07/29 | 57.76                     |
| 24969 | Goldman Sachs SP (Asia) – Ping An European Wts Aug 2016 C      | 80,000,000    | 2016/01/07   | 2016/08/05 | 20.24                     |
| 24967 | Macquarie Bank Ltd. – China Shenhua European Wts Feb 2017 A    | 40,000,000    | 2016/01/07   | 2017/02/02 | 10.04                     |
| 24966 | Macquarie Bank Ltd. – GCL-Poly Energy European Wts Oct 2016 A  | 34,000,000    | 2016/01/07   | 2016/10/04 | 10.03                     |
| 24993 | Credit Suisse AG – China Life European Warrants Jun 2016 A     | 80,000,000    | 2016/01/11   | 2016/06/30 | 15.20                     |
| 24994 | Credit Suisse AG – Ping An European Warrants Aug 2016 C        | 80,000,000    | 2016/01/11   | 2016/08/03 | 24.00                     |

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|---------|---|---------------|--------------|------------|---------------------------|
|         |   | issue (units) | Listing date | Expiry     |                           |
| 25005   | Goldman Sachs SP (Asia) – China Life Euro Wts Jul 2016 A        | 80,000,000    | 2016/01/11   | 2016/07/29 | 22.88                     |
| 25008   | Goldman Sachs SP (Asia) – PetroChina European Wts Jul 2016 A    | 80,000,000    | 2016/01/11   | 2016/07/29 | 44.88                     |
| 24987   | J P Morgan SP BV – AIA European Warrants Sep 2016 A             | 150,000,000   | 2016/01/11   | 2016/09/01 | 43.65                     |
| 24989   | J P Morgan SP BV – China Railway European Wts Oct 2017 A        | 150,000,000   | 2016/01/11   | 2017/10/31 | 22.50                     |
| 24986   | J P Morgan SP BV – A50 China European Warrants Nov 2016 A       | 300,000,000   | 2016/01/11   | 2016/11/01 | 45.60                     |
| 24988   | J P Morgan SP BV – HSBC European Warrants Sep 2016 A            | 100,000,000   | 2016/01/11   | 2016/09/02 | 25.20                     |
| 24984   | J P Morgan SP BV – HSI European Warrants Jul 2016 C             | 300,000,000   | 2016/01/11   | 2016/07/28 | 75.00                     |
| 25004   | Macquarie Bank Ltd. – China Life European Wts Aug 2016 A        | 36,000,000    | 2016/01/11   | 2016/08/02 | 10.01                     |
| 25010   | Macquarie Bank Ltd. – Minsheng Bank European Wts Aug 2016 B     | 11,000,000    | 2016/01/11   | 2016/08/02 | 10.10                     |
| 24985   | Macquarie Bank Ltd. – Link REIT European Warrants Aug 2016 A    | 24,000,000    | 2016/01/11   | 2016/08/15 | 10.10                     |
| 24990   | SGA Societe Generale Acceptance N.V. – CAM CSI300 Eu Wt Sep16A  | 50,000,000    | 2016/01/11   | 2016/09/05 | 21.00                     |
| 24992   | SGA Societe Generale Acceptance N.V. – CLife Eu Wt Aug 2016 D   | 150,000,000   | 2016/01/11   | 2016/08/03 | 37.50                     |
| 24991   | SGA Societe Generale Acceptance NV – CSOP A50 ETF Eu Wt Aug16D  | 30,000,000    | 2016/01/11   | 2016/08/03 | 27.00                     |
| 25002   | UBS AG – CAM CSI300 European Warrants Jun 2016 A                | 50,000,000    | 2016/01/11   | 2016/06/23 | 17.75                     |
| 25003   | UBS AG – BOCL European Warrants Jul 2016 B                      | 60,000,000    | 2016/01/11   | 2016/07/11 | 15.00                     |
| 24998   | UBS AG – A50 China European Warrants Oct 2016 A                 | 300,000,000   | 2016/01/11   | 2016/10/27 | 52.20                     |
| 25470 # | Goldman Sachs SP (Asia) – HSI European Warrants Mar 2016 B      | 150,000,000   | 2016/01/11   | 2016/03/30 | 10.50                     |
| 25017   | BOCI Asia Ltd. – China Mobile European Warrants Jul 2016 B      | 100,000,000   | 2016/01/12   | 2016/07/18 | 37.00                     |
| 25013   | BOCI Asia Ltd. – Ch Overseas European Warrants Nov 2016 A       | 100,000,000   | 2016/01/12   | 2016/11/14 | 28.00                     |
| 25018   | BOCI Asia Ltd. – Chi Res Land European Warrants Nov 2016 A      | 100,000,000   | 2016/01/12   | 2016/11/28 | 33.00                     |
| 25021   | BOCI Asia Ltd. – Ping An European Warrants Jul 2016 A           | 100,000,000   | 2016/01/12   | 2016/07/25 | 27.00                     |
| 25012   | BOCI Asia Ltd. – SHK Ppt European Warrants Sep 2016 A           | 100,000,000   | 2016/01/12   | 2016/09/05 | 54.00                     |
| 25071   | Credit Suisse AG – China Mobile European Warrants Aug 2016 A    | 80,000,000    | 2016/01/12   | 2016/08/03 | 36.80                     |
| 25060   | Credit Suisse AG – CSOP A50 ETF European Warrants Apr 2016 C    | 30,000,000    | 2016/01/12   | 2016/04/29 | 13.80                     |
| 25061   | Credit Suisse AG – CSOP A50 ETF European Warrants Aug 2016 C    | 30,000,000    | 2016/01/12   | 2016/08/03 | 16.80                     |
| 25064   | Credit Suisse AG – A50 China European Warrants Aug 2016 D       | 30,000,000    | 2016/01/12   | 2016/08/03 | 16.20                     |
| 25070   | Credit Suisse AG – A50 China European Warrants Oct 2016 B       | 150,000,000   | 2016/01/12   | 2016/10/27 | 22.50                     |
| 25078   | Goldman Sachs SP (Asia) – CAM CSI300 European Wts Jul 2016 A    | 80,000,000    | 2016/01/12   | 2016/07/29 | 34.64                     |
| 25053   | Goldman Sachs SP (Asia) – China Mobile Euro Wts Apr 2017 A      | 300,000,000   | 2016/01/12   | 2017/04/28 | 45.00                     |
| 25077   | Goldman Sachs SP (Asia) – CSOP A50 ETF Euro Wts Jul 2016 D      | 80,000,000    | 2016/01/12   | 2016/07/29 | 80.64                     |
| 25076   | Goldman Sachs SP (Asia) – HKEX European Warrants Jun 2016 D     | 120,000,000   | 2016/01/12   | 2016/06/28 | 27.24                     |
| 25034   | J P Morgan SP BV – AIA European Put Warrants Aug 2016 A         | 100,000,000   | 2016/01/12   | 2016/08/02 | 25.10                     |
| 25041   | J P Morgan SP BV – BOC HK European Warrants Aug 2016 A          | 100,000,000   | 2016/01/12   | 2016/08/01 | 15.00                     |
| 25040   | J P Morgan SP BV – CKP European Warrants Aug 2016 A             | 60,000,000    | 2016/01/12   | 2016/08/01 | 15.60                     |
| 25037   | J P Morgan SP BV – China Life European Warrants Jun 2016 B      | 200,000,000   | 2016/01/12   | 2016/06/30 | 36.40                     |
| 25039   | J P Morgan SP BV – China Mob European Wts Aug 2016 B            | 100,000,000   | 2016/01/12   | 2016/08/02 | 42.80                     |
| 25036   | J P Morgan SP BV – CSOP A50 ETF European Warrants Dec 2016 B    | 200,000,000   | 2016/01/12   | 2016/12/30 | 30.20                     |
| 25038   | J P Morgan SP BV – PICC European Warrants Aug 2017 A            | 100,000,000   | 2016/01/12   | 2017/08/01 | 25.10                     |
| 25033   | Macquarie Bank Ltd. – AAC Acoustic European Wts Sep 2016 A      | 12,000,000    | 2016/01/12   | 2016/09/19 | 10.01                     |
| 25050   | Macquarie Bank Ltd. – China Taiping European Wts Aug 2016 A     | 40,000,000    | 2016/01/12   | 2016/08/02 | 10.00                     |
| 25030   | Macquarie Bank Ltd. – Kingdee Int'l European Wts Nov 2016 A     | 13,000,000    | 2016/01/12   | 2016/11/16 | 10.01                     |
| 25055   | SGA Societe Generale Acceptance N.V. – HSCEI Eu Wt Jun 2016 C   | 150,000,000   | 2016/01/12   | 2016/06/29 | 22.50                     |
| 25057   | SGA Societe Generale Acceptance N.V. – HSCEI Eu Wt Jul 2016 D   | 150,000,000   | 2016/01/12   | 2016/07/28 | 22.50                     |
| 25043   | SGA Societe Generale Acceptance N.V. – HS H-SHARE Eu Wts Aug16C | 50,000,000    | 2016/01/12   | 2016/08/03 | 36.00                     |

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|         |  | issue (units) | Listing date | Expiry     |                           |
| 25074   | UBS AG – China Mobile European Warrants Jun 2016 C           | 100,000,000   | 2016/01/12   | 2016/06/29 | 37.00                     |
| 25148   | Credit Suisse AG – HSBC European Wts May 2016 B              | 120,000,000   | 2016/01/13   | 2016/05/03 | 24.00                     |
| 25146   | Credit Suisse AG – HSI European Warrants Jun 2016 B          | 150,000,000   | 2016/01/13   | 2016/06/29 | 22.50                     |
| 25173   | Goldman Sachs SP (Asia) – Ch Comm Cons Euro Wts Sep 2017 A   | 100,000,000   | 2016/01/13   | 2017/09/29 | 25.00                     |
| 25178   | Goldman Sachs SP (Asia) – CRRC European Warrants Sep 2017 A  | 100,000,000   | 2016/01/13   | 2017/09/29 | 29.80                     |
| 25182   | Goldman Sachs SP (Asia) – Fosun Intl European Wts Aug 2016 A | 100,000,000   | 2016/01/13   | 2016/08/31 | 25.10                     |
| 25184   | Goldman Sachs SP (Asia) – A50 China European Wts Nov 2016 A  | 100,000,000   | 2016/01/13   | 2016/11/03 | 15.20                     |
| 25171   | Goldman Sachs Sp (Asia) – ICBC European Warrants Jul 2017 A  | 100,000,000   | 2016/01/13   | 2017/07/11 | 42.80                     |
| 25082   | HK Bank – China Life European Warrants Jun 2016 E            | 100,000,000   | 2016/01/13   | 2016/06/27 | 16.00                     |
| 25079   | HK Bank – China Life European Warrants Jul 2016 A            | 80,000,000    | 2016/01/13   | 2016/07/29 | 20.00                     |
| 25093   | HK Bank – China Mobile European Warrants Jul 2016 B          | 60,000,000    | 2016/01/13   | 2016/07/29 | 27.00                     |
| 25090   | HK Bank – HSI European Warrants Jun 2016 E                   | 180,000,000   | 2016/01/13   | 2016/06/29 | 28.80                     |
| 25080   | HK Bank – PetroChina European Warrants Jul 2016 B            | 50,000,000    | 2016/01/13   | 2016/07/29 | 22.50                     |
| 25097   | HK Bank – Tencent European Warrants Feb 2017 A               | 100,000,000   | 2016/01/13   | 2017/02/20 | 15.00                     |
| 25162   | J P Morgan SP BV – BOCL European Warrants Oct 2016 A         | 100,000,000   | 2016/01/13   | 2016/10/31 | 15.00                     |
| 25152   | J P Morgan SP BV – CC Bank European Wts Sep 2016 A           | 100,000,000   | 2016/01/13   | 2016/09/02 | 15.90                     |
| 25165   | J P Morgan SP BV – China Mob European Put Wts Aug 2016 C     | 80,000,000    | 2016/01/13   | 2016/08/01 | 35.76                     |
| 25169   | J P Morgan SP BV – HKEX European Put Wts Dec 2016 B          | 200,000,000   | 2016/01/13   | 2016/12/30 | 50.00                     |
| 25118   | J P Morgan SP BV – HSCEI European Wts Jun 2016 C             | 200,000,000   | 2016/01/13   | 2016/06/29 | 30.00                     |
| 25116   | J P Morgan SP BV – HSCEI European Wts Jul 2016 C             | 200,000,000   | 2016/01/13   | 2016/07/28 | 30.00                     |
| 25159   | J P Morgan SP BV – ICBC European Warrants Sep 2016 A         | 100,000,000   | 2016/01/13   | 2016/09/02 | 25.00                     |
| 25163   | J P Morgan SP BV – PetroChina European Warrants Oct 2016 A   | 80,000,000    | 2016/01/13   | 2016/10/03 | 31.76                     |
| 25119   | J P Morgan SP BV – Tencent European Warrants Oct 2016 A      | 200,000,000   | 2016/01/13   | 2016/10/05 | 30.00                     |
| 25115   | Macquarie Bank Ltd. – Anhui Conch European Wts Sep 2016 A    | 37,000,000    | 2016/01/13   | 2016/09/02 | 10.03                     |
| 25113   | Macquarie Bank Ltd. – Ch Molybdenum European Wts Jul 2016 A  | 38,000,000    | 2016/01/13   | 2016/07/13 | 10.03                     |
| 25123   | Macquarie Bank Ltd. – China Overseas European Wts Nov 2016 A | 40,000,000    | 2016/01/13   | 2016/11/02 | 10.00                     |
| 25122   | Macquarie Bank Ltd. – Ping An European Put Warrants Dec 16 A | 40,000,000    | 2016/01/13   | 2016/12/02 | 10.00                     |
| 25107   | Macquarie Bank Ltd. – Techtronic Ind European Wts Sep 2016 A | 20,000,000    | 2016/01/13   | 2016/09/19 | 10.00                     |
| 25110   | Macquarie Bank Ltd. – Goldwind European Warrants Dec 2016 A  | 26,000,000    | 2016/01/13   | 2016/12/16 | 10.01                     |
| 25138   | UBS AG – CC Bank European Warrants Jul 2016 B                | 100,000,000   | 2016/01/13   | 2016/07/25 | 16.60                     |
| 25134   | UBS AG – China Life European Warrants Jun 2016 B             | 100,000,000   | 2016/01/13   | 2016/06/30 | 15.00                     |
| 25125   | UBS AG – Minsheng Bank European Warrants Jul 2016 B          | 20,000,000    | 2016/01/13   | 2016/07/12 | 10.80                     |
| 25141   | UBS AG – HSBC European Warrants Jun 2016 E                   | 100,000,000   | 2016/01/13   | 2016/06/27 | 15.00                     |
| 25140   | UBS AG – PetroChina European Warrants Jul 2016 B             | 50,000,000    | 2016/01/13   | 2016/07/12 | 23.50                     |
| 25145   | UBS AG – Ping An European Warrants Jul 2016 A                | 100,000,000   | 2016/01/13   | 2016/07/05 | 25.50                     |
| 19901 # | BOCI Asia Ltd. – Ping An European Warrants Sep 2016 A        | 250,000,000   | 2016/01/13   | 2016/09/30 | 10.25                     |
| 20663 # | BOCI Asia Ltd. – Tencent Holdings European Wts Oct 2016 A    | 120,000,000   | 2016/01/13   | 2016/10/05 | 10.56                     |
| 25189   | BOCI Asia Ltd. – HSCEI European Warrants Jul 2016 B          | 100,000,000   | 2016/01/14   | 2016/07/28 | 15.00                     |
| 25192   | BOCI Asia Ltd. – HSCEI European Put Warrants Oct 2016 A      | 100,000,000   | 2016/01/14   | 2016/10/28 | 25.00                     |
| 25186   | BOCI Asia Ltd. – China Vanke European Warrants Nov 2016 A    | 100,000,000   | 2016/01/14   | 2016/11/07 | 45.00                     |
| 25261   | BNP Paribas Arbit Issu B.V. – AIA European Wts Jul 2016 A    | 60,000,000    | 2016/01/14   | 2016/07/05 | 18.60                     |
| 25255   | BNP Paribas Arbit Issu B.V. – BOCL European Wts Sep 2016 B   | 70,000,000    | 2016/01/14   | 2016/09/02 | 12.60                     |
| 25257   | BNP Paribas Arbit Issu B.V. – BYD European Wts Sep 2017 A    | 120,000,000   | 2016/01/14   | 2017/09/04 | 19.20                     |
| 25231   | BNP Paribas Arbit Issu B.V. – China Life Euro Wts Sep 2016 B | 60,000,000    | 2016/01/14   | 2016/09/02 | 15.00                     |

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|-------|--|---------------|--------------|------------|---------------------------|
|       |  | issue (units) | Listing date | Expiry     |                           |
| 25230 | BNP Paribas Arbit Issu B.V. – Ch Mobile Euro Wts May 2017 A  | 80,000,000    | 2016/01/14   | 2017/05/04 | 12.00                     |
| 25256 | BNP Paribas Arbit Issu B.V. – CNOOC European Wts Jul 2016 B  | 30,000,000    | 2016/01/14   | 2016/07/05 | 17.10                     |
| 25281 | BNP Paribas Arbit Issu B.V. – Sinopec Corp Eu Wts Aug 2016 A | 50,000,000    | 2016/01/14   | 2016/08/02 | 18.00                     |
| 25253 | BNP Paribas Arbit Issu B.V. – HSBC European Wts Aug 2016 A   | 50,000,000    | 2016/01/14   | 2016/08/02 | 15.00                     |
| 25270 | BNP Paribas Arbit Issu B.V. – HSI European Wts Jul 2016 A    | 100,000,000   | 2016/01/14   | 2016/07/28 | 25.00                     |
| 25272 | BNP Paribas Arbit Issu B.V. – HSI Euro Put Wts Jul 2016 B    | 100,000,000   | 2016/01/14   | 2016/07/28 | 26.00                     |
| 25280 | BNP Paribas Arbit Issu B.V. – PetroCh Euro Wts Aug 2016 B    | 50,000,000    | 2016/01/14   | 2016/08/02 | 20.00                     |
| 25275 | BNP Paribas Arbit Issu B.V. – Ping An European Wt Aug 2016 B | 80,000,000    | 2016/01/14   | 2016/08/02 | 23.20                     |
| 25232 | BNP Paribas Arbit Issu B.V. – Ping An European Wt Dec 2016 B | 80,000,000    | 2016/01/14   | 2016/12/30 | 12.00                     |
| 25225 | BNP Paribas Arbit Issu B.V. – SHK Ppt Euro Wts Jul 2016 A    | 30,000,000    | 2016/01/14   | 2016/07/05 | 12.00                     |
| 25287 | Credit Suisse AG – AIA European Warrants Aug 2016 A          | 80,000,000    | 2016/01/14   | 2016/08/03 | 28.00                     |
| 25283 | Credit Suisse AG – China Life European Warrants Aug 2016 B   | 80,000,000    | 2016/01/14   | 2016/08/03 | 20.00                     |
| 25291 | Credit Suisse AG – China Mobile European Warrants Aug 2016 B | 80,000,000    | 2016/01/14   | 2016/08/05 | 40.80                     |
| 25297 | Credit Suisse AG – Sinopec Corp European Warrants Aug 2016 B | 80,000,000    | 2016/01/14   | 2016/08/03 | 25.60                     |
| 25300 | Credit Suisse AG – HKEX European Warrants Jun 2016 F         | 180,000,000   | 2016/01/14   | 2016/06/27 | 27.00                     |
| 25288 | Credit Suisse AG – HSBC European Wts Aug 2016 A              | 120,000,000   | 2016/01/14   | 2016/08/03 | 45.60                     |
| 25296 | Credit Suisse AG – Ping An European Warrants Aug 2016 D      | 80,000,000    | 2016/01/14   | 2016/08/05 | 28.00                     |
| 25334 | Goldman Sachs SP (Asia) – CC Bank European Wts Jul 2016 B    | 100,000,000   | 2016/01/14   | 2016/07/29 | 42.70                     |
| 25328 | Goldman Sachs SP (Asia) – China Life Euro Wts Jul 2016 B     | 100,000,000   | 2016/01/14   | 2016/07/29 | 30.20                     |
| 25336 | Goldman Sachs SP (Asia) – Galaxy Ent European Wts Aug 2016 A | 80,000,000    | 2016/01/14   | 2016/08/30 | 27.36                     |
| 25337 | Goldman Sachs SP (Asia) – HSBC European Warrants Jul 2016 B  | 100,000,000   | 2016/01/14   | 2016/07/29 | 36.00                     |
| 25324 | Goldman Sachs SP (Asia) – HSCEI European Warrants Jun 2016 B | 150,000,000   | 2016/01/14   | 2016/06/29 | 24.45                     |
| 25323 | Goldman Sachs SP (Asia) – HS H-SHARE European Wts Jul 2016 B | 80,000,000    | 2016/01/14   | 2016/07/28 | 57.60                     |
| 25326 | Goldman Sachs SP (Asia) – HSI European Warrants Jul 2016 B   | 150,000,000   | 2016/01/14   | 2016/07/28 | 38.40                     |
| 25330 | Goldman Sachs SP (Asia) – Ping An European Wts Jul 2016 B    | 100,000,000   | 2016/01/14   | 2016/07/29 | 42.20                     |
| 25327 | Goldman Sachs SP (Asia) – Stanchart European Wts Jul 2016 B  | 40,000,000    | 2016/01/14   | 2016/07/29 | 21.16                     |
| 25193 | HK Bank – Sinopec Corp European Warrants Jul 2016 C          | 50,000,000    | 2016/01/14   | 2016/07/29 | 20.00                     |
| 25196 | HK Bank – A50 China European Warrants Oct 2016 A             | 180,000,000   | 2016/01/14   | 2016/10/31 | 27.00                     |
| 25211 | HK Bank – HKEX European Warrants May 2016 C                  | 180,000,000   | 2016/01/14   | 2016/05/31 | 27.00                     |
| 25201 | HK Bank – HSCEI European Warrants Apr 2016 E                 | 180,000,000   | 2016/01/14   | 2016/04/28 | 32.40                     |
| 25206 | HK Bank – HSCEI European Warrants Jun 2016 B                 | 180,000,000   | 2016/01/14   | 2016/06/29 | 27.00                     |
| 25203 | HK Bank – HSCEI European Warrants Jul 2016 B                 | 180,000,000   | 2016/01/14   | 2016/07/28 | 27.00                     |
| 25207 | HK Bank – HSCEI European Put Warrants May 2016 C             | 180,000,000   | 2016/01/14   | 2016/05/30 | 27.00                     |
| 25198 | HK Bank – HSI European Warrants Apr 2016 F                   | 180,000,000   | 2016/01/14   | 2016/04/28 | 37.80                     |
| 25195 | HK Bank – HSI European Put Warrants Jun 2016 F               | 180,000,000   | 2016/01/14   | 2016/06/29 | 27.00                     |
| 25210 | HK Bank – ICBC European Warrants Jul 2016 B                  | 80,000,000    | 2016/01/14   | 2016/07/29 | 20.00                     |
| 25322 | J P Morgan SP BV – CAM CSI300 European Warrants Aug 2016 B   | 80,000,000    | 2016/01/14   | 2016/08/02 | 20.16                     |
| 25240 | J P Morgan SP BV – China Life European Warrants Aug 2016 A   | 100,000,000   | 2016/01/14   | 2016/08/03 | 25.10                     |
| 25315 | J P Morgan SP BV – CNOOC European Warrants Dec 2018 A        | 200,000,000   | 2016/01/14   | 2018/12/31 | 30.20                     |
| 25314 | J P Morgan SP BV – Sinopec Corp European Warrants Jul 2016 B | 80,000,000    | 2016/01/14   | 2016/07/04 | 24.00                     |
| 25237 | J P Morgan SP BV – China Shenhua European Wts Aug 2017 A     | 80,000,000    | 2016/01/14   | 2017/08/01 | 20.00                     |
| 25307 | J P Morgan SP BV – HSCEI European Put Warrants Dec 2016 A    | 200,000,000   | 2016/01/14   | 2016/12/29 | 30.00                     |
| 25236 | J P Morgan SP BV – HSI European Warrants Aug 2016 B          | 300,000,000   | 2016/01/14   | 2016/08/30 | 75.00                     |
| 25306 | J P Morgan SP BV – HSI European Put Warrants Jul 2016 D      | 300,000,000   | 2016/01/14   | 2016/07/28 | 75.30                     |



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| 25321 | J P Morgan SP BV – Haitong Sec European Warrants Oct 2016 A    | 100,000,000   | 2016/01/14   | 2016/10/31 | 25.20                     |
| 25239 | J P Morgan SP BV – JX Copper European Warrants Nov 2017 A      | 80,000,000    | 2016/01/14   | 2017/11/30 | 20.08                     |
| 25318 | J P Morgan SP BV – Ping An European Warrants May 2016 B        | 100,000,000   | 2016/01/14   | 2016/05/04 | 16.40                     |
| 25310 | J P Morgan SP BV – Sands China European Warrants Aug 2016 A    | 100,000,000   | 2016/01/14   | 2016/08/02 | 25.10                     |
| 25320 | J P Morgan SP BV – Stanchart European Warrants Sep 2016 A      | 30,000,000    | 2016/01/14   | 2016/09/01 | 10.71                     |
| 25312 | J P Morgan SP BV – Tencent European Warrants Dec 2016 E        | 200,000,000   | 2016/01/14   | 2016/12/29 | 30.00                     |
| 25212 | Macquarie Bank Ltd. – CNOOC European Put Warrants Sep 2016 A   | 22,000,000    | 2016/01/14   | 2016/09/02 | 10.01                     |
| 25224 | Macquarie Bank Ltd. – Sinopec Corp European Wts Sep 2016 A     | 35,000,000    | 2016/01/14   | 2016/09/02 | 10.15                     |
| 25305 | Macquarie Bank Ltd. – Hang Seng Bank European Wts Aug 2016 A   | 40,000,000    | 2016/01/14   | 2016/08/03 | 10.00                     |
| 25213 | Macquarie Bank Ltd. – PetroChina European Put Warrants Nov16A  | 25,000,000    | 2016/01/14   | 2016/11/02 | 10.00                     |
| 25267 | SGA Societe Generale Acceptance N.V. – A50 Ch Eu Put Wt Jan18A | 300,000,000   | 2016/01/14   | 2018/01/04 | 51.00                     |
| 25215 | SGA Societe Generale Acceptance N.V. – HSBC Eu Wt Aug 2016 A   | 100,000,000   | 2016/01/14   | 2016/08/03 | 31.50                     |
| 25218 | SGA Societe Generale Acceptance N.V. – Tencent Eu Wt Jan 17 B  | 500,000,000   | 2016/01/14   | 2017/01/05 | 80.00                     |
| 25222 | SGA Societe Generale Acceptance N.V – Tencent Eu Put Wt Jan17C | 500,000,000   | 2016/01/14   | 2017/01/05 | 75.00                     |
| 25251 | UBS AG – BYD European Warrants Jul 2016 A                      | 20,000,000    | 2016/01/14   | 2016/07/13 | 10.20                     |
| 25241 | UBS AG – China Life European Warrants Jul 2016 A               | 100,000,000   | 2016/01/14   | 2016/07/08 | 15.00                     |
| 25249 | UBS AG – Sinopec Corp European Warrants Jul 2016 A             | 60,000,000    | 2016/01/14   | 2016/07/13 | 22.50                     |
| 25246 | UBS AG – HSCEI European Warrants Jul 2016 B                    | 200,000,000   | 2016/01/14   | 2016/07/28 | 30.00                     |
| 25242 | UBS AG – Stanchart European Warrants Jul 2016 A                | 50,000,000    | 2016/01/14   | 2016/07/13 | 20.50                     |
| 25345 | BOCI Asia Ltd. – ICBC European Warrants Jul 2016 A             | 100,000,000   | 2016/01/15   | 2016/07/29 | 19.00                     |
| 25341 | BOCI Asia Ltd. – PetroChina European Warrants Jul 2016 B       | 100,000,000   | 2016/01/15   | 2016/07/20 | 36.00                     |
| 25385 | BNP Paribas Arbit Issu B.V. – BankComm Euro Wts Aug 2016 A     | 40,000,000    | 2016/01/15   | 2016/08/02 | 10.00                     |
| 25382 | BNP Paribas Arbit Issu B.V. – China Tel Euro Wts Jul 2016 A    | 50,000,000    | 2016/01/15   | 2016/07/05 | 10.00                     |
| 25380 | BNP Paribas Arbit Issu B.V. – Ch Unicom Euro Wt Jan 2018 A     | 60,000,000    | 2016/01/15   | 2018/01/03 | 10.80                     |
| 25390 | BNP Paribas Arbit Issu B.V. – PICC European Wts Oct 2016 A     | 60,000,000    | 2016/01/15   | 2016/10/04 | 10.20                     |
| 25403 | Credit Suisse AG – Anhui Conch European Warrants Oct 2016 A    | 50,000,000    | 2016/01/15   | 2016/10/03 | 12.50                     |
| 25410 | Credit Suisse AG – Ch Comm Cons European Warrants Aug 2016 A   | 30,000,000    | 2016/01/15   | 2016/08/04 | 27.00                     |
| 25399 | Credit Suisse AG – ChiUnicom European Warrants Dec 2017 A      | 100,000,000   | 2016/01/15   | 2017/12/29 | 15.00                     |
| 25409 | Credit Suisse AG – GCL-Poly Energy European Wts Sep 2016 A     | 40,000,000    | 2016/01/15   | 2016/09/05 | 10.00                     |
| 25415 | Credit Suisse AG – Geely Auto European Warrants Aug 2016 A     | 30,000,000    | 2016/01/15   | 2016/08/04 | 17.40                     |
| 25397 | Credit Suisse AG – HSCEI European Warrants Jun 2016 C          | 100,000,000   | 2016/01/15   | 2016/06/29 | 15.00                     |
| 25407 | Credit Suisse AG – HTSC European Warrants Sep 2016 A           | 50,000,000    | 2016/01/15   | 2016/09/30 | 13.00                     |
| 25401 | Credit Suisse AG – Haitong Sec European Warrants Jul 2016 A    | 60,000,000    | 2016/01/15   | 2016/07/04 | 10.20                     |
| 25404 | Credit Suisse AG – Kingsoft European Warrants Aug 2016 A       | 50,000,000    | 2016/01/15   | 2016/08/03 | 14.00                     |
| 25400 | Credit Suisse AG – PICC European Warrants Sep 2016 A           | 70,000,000    | 2016/01/15   | 2016/09/30 | 10.50                     |
| 25438 | Goldman Sachs SP (Asia) – China Mobile Euro Wts Jul 2016 B     | 100,000,000   | 2016/01/15   | 2016/07/18 | 59.40                     |
| 25440 | Goldman Sachs SP (Asia) – China Shenhua Euro Wts Nov 2017 A    | 80,000,000    | 2016/01/15   | 2017/11/30 | 20.08                     |
| 25435 | Goldman Sachs SP (Asia) – A50 China Euro Put Wts Aug 2016 B    | 80,000,000    | 2016/01/15   | 2016/08/30 | 67.44                     |
| 25347 | HK Bank – AIA European Warrants Aug 2016 A                     | 80,000,000    | 2016/01/15   | 2016/08/31 | 24.00                     |
| 25348 | HK Bank – CNOOC European Warrants Dec 2018 A                   | 180,000,000   | 2016/01/15   | 2018/12/24 | 27.00                     |
| 25351 | HK Bank – CSOP A50 ETF European Warrants Jan 2017 A            | 180,000,000   | 2016/01/15   | 2017/01/04 | 27.00                     |
| 25354 | HK Bank – HSCEI European Put Warrants May 2016 D               | 180,000,000   | 2016/01/15   | 2016/05/30 | 27.00                     |
| 25356 | HK Bank – HSI European Put Warrants Apr 2016 G                 | 180,000,000   | 2016/01/15   | 2016/04/28 | 27.00                     |
| 25357 | HK Bank – HSI European Put Warrants Jul 2016 A                 | 180,000,000   | 2016/01/15   | 2016/07/28 | 45.00                     |

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| 25353 | HK Bank – Sands China European Warrants Aug 2016 B              | 80,000,000    | 2016/01/15   | 2016/08/31 | 20.00                     |
| 25428 | J P Morgan SP BV – Car Inc European Warrants Dec 2016 A         | 80,000,000    | 2016/01/15   | 2016/12/30 | 20.16                     |
| 25433 | J P Morgan SP BV – HKEX European Warrants Jul 2016 B            | 300,000,000   | 2016/01/15   | 2016/07/05 | 45.00                     |
| 25430 | J P Morgan SP BV – HKEX European Warrants Nov 2016 A            | 300,000,000   | 2016/01/15   | 2016/11/30 | 45.00                     |
| 25429 | J P Morgan SP BV – HS H-SHARE European Warrants Aug 2016 A      | 100,000,000   | 2016/01/15   | 2016/08/01 | 48.50                     |
| 25427 | J P Morgan SP BV – Shimao Property European Wts Aug 2017 A      | 60,000,000    | 2016/01/15   | 2017/08/01 | 15.00                     |
| 25363 | Macquarie Bank Ltd. – AIA European Warrants Aug 2016 A          | 30,000,000    | 2016/01/15   | 2016/08/02 | 10.11                     |
| 25375 | Macquarie Bank Ltd. – Chi Res Land European Wts Sep 2016 A      | 40,000,000    | 2016/01/15   | 2016/09/02 | 10.00                     |
| 25368 | Macquarie Bank Ltd. – Kingsoft European Warrants Aug 2016 A     | 29,000,000    | 2016/01/15   | 2016/08/02 | 10.01                     |
| 25369 | Macquarie Bank Ltd. – PetroChina European Wts Aug 2016 A        | 20,000,000    | 2016/01/15   | 2016/08/02 | 10.00                     |
| 25371 | Macquarie Bank Ltd. – Ping An European Warrants Sep 2016 B      | 40,000,000    | 2016/01/15   | 2016/09/02 | 10.00                     |
| 25374 | Macquarie Bank Ltd. – Ping An European Warrants Dec 2016 B      | 40,000,000    | 2016/01/15   | 2016/12/02 | 10.00                     |
| 25394 | SGA Societe Generale Acceptance N.V. – Galaxy Eu Put Wt Aug16B  | 80,000,000    | 2016/01/15   | 2016/08/03 | 20.00                     |
| 25379 | SGA Societe Generale Acceptance N.V. – HSCEI Eu Put Wt May16C   | 150,000,000   | 2016/01/15   | 2016/05/30 | 24.75                     |
| 25376 | SGA Societe Generale Acceptance N.V. – HSI Eur Wt May 2016 F    | 150,000,000   | 2016/01/15   | 2016/05/30 | 27.00                     |
| 25377 | SGA Societe Generale Acceptance N.V. – HSI Eu Put Wt Jul 16 B   | 150,000,000   | 2016/01/15   | 2016/07/28 | 37.50                     |
| 25395 | SGA Societe Generale Acceptance N.V. – Ping An Eu Wt Sep 16 C   | 120,000,000   | 2016/01/15   | 2016/09/05 | 30.00                     |
| 25396 | SGA Societe Generale Acceptance N.V. – Sands China Eu Wt Aug16B | 80,000,000    | 2016/01/15   | 2016/08/03 | 20.00                     |
| 25417 | UBS AG – AIA European Warrants Jun 2016 A                       | 100,000,000   | 2016/01/15   | 2016/06/27 | 22.50                     |
| 25420 | UBS AG – AIA European Warrants Jul 2016 A                       | 100,000,000   | 2016/01/15   | 2016/07/25 | 35.50                     |
| 25425 | UBS AG – China Mobile European Put Warrants Jul 2016 A          | 100,000,000   | 2016/01/15   | 2016/07/14 | 59.00                     |
| 25421 | UBS AG – ICBC European Warrants Jul 2016 A                      | 100,000,000   | 2016/01/15   | 2016/07/22 | 18.90                     |
| 25422 | UBS AG – ICBC European Warrants Sep 2016 A                      | 100,000,000   | 2016/01/15   | 2016/09/27 | 16.80                     |
| 25423 | UBS AG – Ping An European Put Warrants Jul 2016 B               | 70,000,000    | 2016/01/15   | 2016/07/14 | 21.00                     |
| 25426 | UBS AG – Tencent Holdings European Warrants Dec 2016 B          | 300,000,000   | 2016/01/15   | 2016/12/21 | 45.00                     |
| 25463 | Credit Suisse AG – Agricultural Bank European Wts Jul 2016 A    | 70,000,000    | 2016/01/18   | 2016/07/05 | 10.50                     |
| 25462 | Credit Suisse AG – BOCL European Warrants Jul 2016 B            | 80,000,000    | 2016/01/18   | 2016/07/05 | 12.00                     |
| 25467 | Credit Suisse AG – CC Bank European Warrants Aug 2016 B         | 80,000,000    | 2016/01/18   | 2016/08/03 | 24.00                     |
| 25449 | Credit Suisse AG – China Life European Warrants Aug 2016 C      | 80,000,000    | 2016/01/18   | 2016/08/05 | 22.40                     |
| 25471 | Credit Suisse AG – HS H-SHARE European Warrants Aug 2016 B      | 70,000,000    | 2016/01/18   | 2016/08/05 | 25.20                     |
| 25447 | Credit Suisse AG – HSI European Warrants Jul 2016 B             | 150,000,000   | 2016/01/18   | 2016/07/28 | 22.50                     |
| 25469 | Credit Suisse AG – ICBC European Warrants Jul 2016 B            | 80,000,000    | 2016/01/18   | 2016/07/29 | 20.00                     |
| 25466 | Credit Suisse AG – PetroChina European Warrants Aug 2016 C      | 70,000,000    | 2016/01/18   | 2016/08/03 | 25.90                     |
| 25509 | Bank of East Asia – BYD European Warrants Sep 2017 A            | 80,000,000    | 2016/01/18   | 2017/09/01 | 12.00                     |
| 25522 | Bank of East Asia – Ch Comm Cons European Wts Jul 2017 A        | 70,000,000    | 2016/01/18   | 2017/07/27 | 11.20                     |
| 25511 | Bank of East Asia – R&F Ppt European Warrants Jul 2017 A        | 40,000,000    | 2016/01/18   | 2017/07/27 | 10.00                     |
| 25518 | Bank of East Asia – HKEX European Warrants Dec 2016 A           | 40,000,000    | 2016/01/18   | 2016/12/22 | 10.00                     |
| 25521 | Bank of East Asia – HSBC European Warrants Sep 2016 A           | 40,000,000    | 2016/01/18   | 2016/09/21 | 10.80                     |
| 25524 | Goldman Sachs SP (Asia) – AIA European Warrants Jul 2016 A      | 80,000,000    | 2016/01/18   | 2016/07/29 | 29.28                     |
| 25544 | Goldman Sachs SP (Asia) – CITIC Sec European Wts Jul 2016 A     | 80,000,000    | 2016/01/18   | 2016/07/29 | 20.00                     |
| 25531 | Goldman Sachs SP (Asia) – China Life Euro Wts Aug 2016 A        | 100,000,000   | 2016/01/18   | 2016/08/31 | 33.60                     |
| 25536 | Goldman Sachs SP (Asia) – Minsheng Bank Euro Wts Aug 2016 A     | 40,000,000    | 2016/01/18   | 2016/08/31 | 24.32                     |
| 25473 | Goldman Sachs SP (Asia) – HSI European Warrants Jun 2016 F      | 150,000,000   | 2016/01/18   | 2016/06/29 | 25.20                     |
| 25538 | Goldman Sachs SP (Asia) – PetroChina European Wts Aug 2016 A    | 80,000,000    | 2016/01/18   | 2016/08/31 | 44.00                     |

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| 25532 | Goldman Sachs SP (Asia) – Ping An European Wts Aug 2016 D    | 100,000,000   | 2016/01/18   | 2016/08/31 | 49.40                     |
| 25529 | Goldman Sachs SP (Asia) – Sands China Euro Wts Aug 2016 A    | 80,000,000    | 2016/01/18   | 2016/08/31 | 22.32                     |
| 25525 | Goldman Sachs SP (Asia) – Tencent European Wt Jun 2016 E     | 300,000,000   | 2016/01/18   | 2016/06/27 | 45.90                     |
| 25444 | HK Bank – CRCC European Warrants Nov 2016 A                  | 80,000,000    | 2016/01/18   | 2016/11/30 | 12.00                     |
| 25442 | HK Bank – Galaxy Ent European Warrants Jul 2016 A            | 80,000,000    | 2016/01/18   | 2016/07/29 | 20.00                     |
| 25441 | HK Bank – Haitong Sec European Warrants Sep 2016 A           | 80,000,000    | 2016/01/18   | 2016/09/30 | 20.00                     |
| 25445 | HK Bank – Stanchart European Warrants Sep 2016 A             | 50,000,000    | 2016/01/18   | 2016/09/02 | 20.00                     |
| 25457 | J P Morgan SP BV – HSI European Warrants Jul 2016 E          | 300,000,000   | 2016/01/18   | 2016/07/28 | 75.30                     |
| 25523 | J P Morgan SP BV – Sands China European Put Wts Aug 2016 B   | 80,000,000    | 2016/01/18   | 2016/08/01 | 20.00                     |
| 25452 | Macquarie Bank Ltd. – BOCL European Warrants Aug 2016 A      | 36,000,000    | 2016/01/18   | 2016/08/02 | 10.01                     |
| 25545 | Macquarie Bank Ltd. – BYD European Warrants Dec 2018 A       | 40,000,000    | 2016/01/18   | 2018/12/04 | 10.00                     |
| 25453 | Macquarie Bank Ltd. – China Life European Wts Aug 2016 B     | 28,000,000    | 2016/01/18   | 2016/08/02 | 10.14                     |
| 25502 | Macquarie Bank Ltd. – China Mobile European Wts Jul 2016 C   | 56,000,000    | 2016/01/18   | 2016/07/05 | 10.08                     |
| 25504 | Macquarie Bank Ltd. – China Mobile European Put Wts Aug16A   | 40,000,000    | 2016/01/18   | 2016/08/02 | 10.00                     |
| 25455 | Macquarie Bank Ltd. – China Overseas European Wts Aug 2016 B | 40,000,000    | 2016/01/18   | 2016/08/02 | 10.00                     |
| 25498 | Macquarie Bank Ltd. – HSBC European Warrants Jul 2016 D      | 67,000,000    | 2016/01/18   | 2016/07/05 | 10.05                     |
| 25501 | Macquarie Bank Ltd. – HSBC European Put Warrants Aug 2016 B  | 40,000,000    | 2016/01/18   | 2016/08/02 | 10.00                     |
| 25450 | Macquarie Bank Ltd. – China Mengniu European Wts Nov 2016 A  | 40,000,000    | 2016/01/18   | 2016/11/02 | 10.00                     |
| 25505 | Macquarie Bank Ltd. – New World Dev European Wts Sep 2016 A  | 22,000,000    | 2016/01/18   | 2016/09/02 | 10.25                     |
| 25507 | Macquarie Bank Ltd. – Towngas China European Wts Sep 2016 A  | 21,000,000    | 2016/01/18   | 2016/09/12 | 10.42                     |
| 25508 | Macquarie Bank Ltd. – China Vanke European Warrants Oct16A   | 40,000,000    | 2016/01/18   | 2016/10/04 | 10.00                     |
| 25478 | SGA Societe Generale Acceptance N.V. – AIA Eur Wt Aug 2016 A | 100,000,000   | 2016/01/18   | 2016/08/03 | 28.50                     |
| 25476 | SGA Societe Generale Acceptance N.V. – BOCL Eu Wt Oct 2016 B | 100,000,000   | 2016/01/18   | 2016/10/05 | 25.00                     |
| 25474 | SGA Societe Generale Acceptance N.V. – Ch Mob Eu Wt Aug16C   | 80,000,000    | 2016/01/18   | 2016/08/03 | 30.00                     |
| 25475 | SGA Societe Generale Acceptance N.V. – Petch Eu Wt Sep 2016A | 60,000,000    | 2016/01/18   | 2016/09/05 | 24.90                     |
| 25446 | SGA Societe Generale Acceptance N.V. – PICC P&C Eu Wt Dec16A | 60,000,000    | 2016/01/18   | 2016/12/05 | 15.00                     |
| 25487 | UBS AG – CKP European Warrants Jul 2016 B                    | 50,000,000    | 2016/01/18   | 2016/07/18 | 17.75                     |
| 25491 | UBS AG – China Life European Warrants Jul 2016 B             | 100,000,000   | 2016/01/18   | 2016/07/22 | 15.70                     |
| 25496 | UBS AG – China Life European Warrants Jul 2016 C             | 100,000,000   | 2016/01/18   | 2016/07/25 | 25.00                     |
| 25494 | UBS AG – Galaxy Ent European Warrants Jul 2016 B             | 70,000,000    | 2016/01/18   | 2016/07/18 | 20.30                     |
| 25493 | UBS AG – HSCEI European Put Warrants Dec 2016 B              | 200,000,000   | 2016/01/18   | 2016/12/29 | 50.00                     |
| 25479 | UBS AG – HSI European Warrants Jul 2016 A                    | 300,000,000   | 2016/01/18   | 2016/07/28 | 75.00                     |
| 25483 | UBS AG – HSI European Warrants Sep 2016 B                    | 300,000,000   | 2016/01/18   | 2016/09/29 | 75.00                     |
| 25485 | UBS AG – HSI European Warrants Dec 2016 A                    | 300,000,000   | 2016/01/18   | 2016/12/29 | 75.00                     |
| 25486 | UBS AG – HSI European Put Warrants Dec 2016 B                | 300,000,000   | 2016/01/18   | 2016/12/29 | 75.00                     |
| 25488 | UBS AG – KECL European Warrants Jul 2016 A                   | 20,000,000    | 2016/01/18   | 2016/07/18 | 10.60                     |
| 25490 | UBS AG – Sands China European Warrants Sep 2016 A            | 70,000,000    | 2016/01/18   | 2016/09/08 | 17.50                     |
| 25585 | BNP Paribas Arbit Issu B.V. – Ch Mobile Euro Wts Jul 2016 C  | 40,000,000    | 2016/01/19   | 2016/07/05 | 13.60                     |
| 25595 | BNP Paribas Arbit Issu B.V. – HSBC European Wts Sep 2016 A   | 50,000,000    | 2016/01/19   | 2016/09/02 | 10.50                     |
| 25598 | BNP Paribas Arbit Issu B.V. – PetroCh Euro Wts Aug 2016 C    | 40,000,000    | 2016/01/19   | 2016/08/02 | 15.20                     |
| 25599 | Credit Suisse AG – HSI European Warrants Jun 2016 C          | 150,000,000   | 2016/01/19   | 2016/06/29 | 22.50                     |
| 25600 | Credit Suisse AG – HSI European Warrants Aug 2016 A          | 150,000,000   | 2016/01/19   | 2016/08/30 | 37.50                     |
| 25611 | Goldman Sachs SP (Asia) – China Life Euro Put Wts Dec 2016 A | 60,000,000    | 2016/01/19   | 2016/12/29 | 16.08                     |
| 25604 | Goldman Sachs SP (Asia) – China Mobile Eu Put Wts Aug 2016 A | 80,000,000    | 2016/01/19   | 2016/08/30 | 37.12                     |

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|       |   | issue (units) | Listing date | Expiry     |                           |
| 25617 | Goldman Sachs SP (Asia) – HKEX European Put Wts Jun 2016 E    | 150,000,000   | 2016/01/19   | 2016/06/30 | 22.80                     |
| 25547 | Goldman Sachs SP (Asia) – HSCEI European Put Wts Dec 2016 B   | 150,000,000   | 2016/01/19   | 2016/12/29 | 37.50                     |
| 25548 | Goldman Sachs SP (Asia) – HSI European Put Wts Sep 2016 A     | 150,000,000   | 2016/01/19   | 2016/09/29 | 38.70                     |
| 25606 | Goldman Sachs SP (Asia) – Ping An Euro Put Wts Aug 2016 E     | 80,000,000    | 2016/01/19   | 2016/08/30 | 23.92                     |
| 25554 | HK Bank – CAM CSI300 European Warrants Sep 2016 A             | 80,000,000    | 2016/01/19   | 2016/09/30 | 32.00                     |
| 25551 | HK Bank – BOCL European Warrants Aug 2016 C                   | 80,000,000    | 2016/01/19   | 2016/08/31 | 20.00                     |
| 25550 | HK Bank – BYD European Warrants Aug 2017 A                    | 100,000,000   | 2016/01/19   | 2017/08/31 | 15.00                     |
| 25562 | J P Morgan SP BV – HSCEI European Wts Jul 2016 D              | 200,000,000   | 2016/01/19   | 2016/07/28 | 30.00                     |
| 25618 | J P Morgan SP BV – HSI European Warrants Jun 2016 F           | 300,000,000   | 2016/01/19   | 2016/06/29 | 45.00                     |
| 25561 | J P Morgan SP BV – HSI European Warrants Jul 2016 F           | 300,000,000   | 2016/01/19   | 2016/07/28 | 75.00                     |
| 25619 | J P Morgan SP BV – PetroChina European Warrants Aug 2016 C    | 80,000,000    | 2016/01/19   | 2016/08/31 | 32.80                     |
| 25549 | Macquarie Bank Ltd. – CKH European Warrants Aug 2016 A        | 12,000,000    | 2016/01/19   | 2016/08/02 | 10.03                     |
| 25557 | Macquarie Bank Ltd. – Evergrande European Wts Oct 2016 A      | 60,000,000    | 2016/01/19   | 2016/10/21 | 10.56                     |
| 25559 | Macquarie Bank Ltd. – Longfor PPT European Wts Aug 2017 A     | 40,000,000    | 2016/01/19   | 2017/08/02 | 10.00                     |
| 25570 | Macquarie Bank Ltd. – Tencent European Warrants Aug 2016 A    | 24,000,000    | 2016/01/19   | 2016/08/02 | 10.01                     |
| 25563 | SGA Societe Generale Acceptance N.V. – CLife Eu Wt Nov 2016 A | 150,000,000   | 2016/01/19   | 2016/11/03 | 44.25                     |
| 25566 | SGA Societe Generale Acceptance N.V. – CLife Eu Put Wt Sep16B | 150,000,000   | 2016/01/19   | 2016/09/05 | 37.50                     |
| 25567 | SGA Societe Generale Acceptance N.V. – HKEX Eu Wt Oct 2016 B  | 200,000,000   | 2016/01/19   | 2016/10/05 | 50.00                     |
| 25569 | SGA Societe Generale Acceptance N.V. – HKEX Eu Wt Jan 2017 A  | 200,000,000   | 2016/01/19   | 2017/01/05 | 50.00                     |
| 25580 | UBS AG – China Mobile European Warrants Jul 2016 B            | 100,000,000   | 2016/01/19   | 2016/07/18 | 45.00                     |
| 25577 | UBS AG – CNOOC European Warrants Dec 2018 A                   | 100,000,000   | 2016/01/19   | 2018/12/19 | 17.60                     |
| 25575 | UBS AG – HKEX European Warrants Jun 2016 H                    | 300,000,000   | 2016/01/19   | 2016/06/02 | 67.50                     |
| 25574 | UBS AG – HKEX European Warrants Oct 2016 B                    | 300,000,000   | 2016/01/19   | 2016/10/31 | 75.00                     |
| 25584 | UBS AG – HSBC European Warrants Jul 2016 A                    | 100,000,000   | 2016/01/19   | 2016/07/18 | 25.50                     |
| 25579 | UBS AG – HSI European Put Warrants Sep 2016 C                 | 300,000,000   | 2016/01/19   | 2016/09/29 | 75.00                     |
| 25583 | UBS AG – Ping An European Warrants Jul 2016 C                 | 100,000,000   | 2016/01/19   | 2016/07/18 | 31.00                     |
| 25634 | BOCI Asia Ltd. – AIA European Warrants Aug 2016 A             | 100,000,000   | 2016/01/20   | 2016/08/08 | 32.00                     |
| 25642 | BOCI Asia Ltd. – CAM CSI300 European Warrants Sep 2016 A      | 100,000,000   | 2016/01/20   | 2016/09/05 | 37.00                     |
| 25633 | BOCI Asia Ltd. – BYD European Warrants Aug 2017 A             | 100,000,000   | 2016/01/20   | 2017/08/28 | 15.00                     |
| 25638 | BOCI Asia Ltd. – China Life European Warrants Jul 2016 B      | 100,000,000   | 2016/01/20   | 2016/07/28 | 15.00                     |
| 25639 | BOCI Asia Ltd. – China Life European Put Warrants Aug 2016 A  | 100,000,000   | 2016/01/20   | 2016/08/15 | 25.00                     |
| 25631 | BOCI Asia Ltd. – China Mobile European Warrants Aug 2016 A    | 100,000,000   | 2016/01/20   | 2016/08/08 | 38.00                     |
| 25629 | BOCI Asia Ltd. – HKEX European Warrants Dec 2016 A            | 100,000,000   | 2016/01/20   | 2016/12/19 | 25.00                     |
| 25636 | BOCI Asia Ltd. – Ping An European Warrants Aug 2016 A         | 100,000,000   | 2016/01/20   | 2016/08/22 | 29.00                     |
| 25635 | BOCI Asia Ltd. – Sands China European Warrants Aug 2016 A     | 100,000,000   | 2016/01/20   | 2016/08/29 | 25.00                     |
| 25655 | BNP Paribas Arbit Issu B.V. – CAM CSI300 Euro Wts Aug 2016 A  | 50,000,000    | 2016/01/20   | 2016/08/02 | 12.50                     |
| 25654 | BNP Paribas Arbit Issu B.V. – CSOP A50 ETF Eu Wts Jan 2017 B  | 150,000,000   | 2016/01/20   | 2017/01/03 | 22.50                     |
| 25653 | BNP Paribas Arbit Issu B.V. – Tracker Fund Euro Wts Apr 17 A  | 70,000,000    | 2016/01/20   | 2017/04/03 | 11.20                     |
| 25658 | Credit Suisse AG – China Life European Put Wts Aug 2016 D     | 60,000,000    | 2016/01/20   | 2016/08/05 | 15.00                     |
| 25657 | Credit Suisse AG – China Mobile European Put Wts Aug 2016 C   | 60,000,000    | 2016/01/20   | 2016/08/05 | 19.20                     |
| 25659 | Credit Suisse AG – Ping An European Put Warrants Sep 2016 B   | 60,000,000    | 2016/01/20   | 2016/09/19 | 15.60                     |
| 25675 | Goldman Sachs SP (Asia) – CITIC European Warrants Jul 2017 A  | 80,000,000    | 2016/01/20   | 2017/07/28 | 20.16                     |
| 25671 | Goldman Sachs SP (Asia) – A50 China Euro Put Wts Dec 2017 B   | 80,000,000    | 2016/01/20   | 2017/12/29 | 16.40                     |
| 25677 | Goldman Sachs SP (Asia) – HSBC European Warrants Jun 2016 C   | 100,000,000   | 2016/01/20   | 2016/06/02 | 21.40                     |

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|         |   | issue (units) | Listing date | Expiry     |                           |
| 25664   | Goldman Sachs SP (Asia) – HSCEI European Warrants Jul 2016 B  | 150,000,000   | 2016/01/20   | 2016/07/28 | 37.50                     |
| 25660   | Goldman Sachs SP (Asia) – HSI European Warrants Jul 2016 C    | 150,000,000   | 2016/01/20   | 2016/07/28 | 38.40                     |
| 25662   | Goldman Sachs SP (Asia) – HSI European Warrants Jul 2016 D    | 150,000,000   | 2016/01/20   | 2016/07/28 | 38.55                     |
| 25673   | Goldman Sachs SP (Asia) – Tracker Fund European Wts Dec16A    | 80,000,000    | 2016/01/20   | 2016/12/29 | 21.60                     |
| 25621   | HK Bank – China Mobile European Put Warrants Jun 2018 A       | 100,000,000   | 2016/01/20   | 2018/06/29 | 22.00                     |
| 25622   | HK Bank – HKEX European Put Warrants Dec 2016 A               | 100,000,000   | 2016/01/20   | 2016/12/30 | 25.00                     |
| 25627   | HK Bank – HSCEI European Put Warrants Sep 2016 A              | 180,000,000   | 2016/01/20   | 2016/09/29 | 45.00                     |
| 25625   | HK Bank – HSI European Put Warrants Sep 2016 A                | 180,000,000   | 2016/01/20   | 2016/09/29 | 45.00                     |
| 25624   | HK Bank – Ping An European Warrants Jun 2016 B                | 80,000,000    | 2016/01/20   | 2016/06/27 | 12.00                     |
| 25623   | HK Bank – Ping An European Warrants Jul 2016 A                | 80,000,000    | 2016/01/20   | 2016/07/29 | 20.00                     |
| 25620   | HK Bank – Tencent European Put Warrants Sep 2016 B            | 100,000,000   | 2016/01/20   | 2016/09/30 | 15.00                     |
| 25669   | J P Morgan SP BV – China Life European Put Wts Oct 2016 B     | 100,000,000   | 2016/01/20   | 2016/10/03 | 25.00                     |
| 25645   | J P Morgan SP BV – HSI European Put Warrants Apr 2016 H       | 300,000,000   | 2016/01/20   | 2016/04/28 | 45.00                     |
| 25651   | Macquarie Bank Ltd. – BOCHK European Warrants May 2017 A      | 40,000,000    | 2016/01/20   | 2017/05/04 | 10.00                     |
| 25652   | Macquarie Bank Ltd. – China Life European Put Warrants Oct16A | 40,000,000    | 2016/01/20   | 2016/10/04 | 10.00                     |
| 25650   | Macquarie Bank Ltd. – Tencent European Put Wts Aug 2016 B     | 18,000,000    | 2016/01/20   | 2016/08/02 | 10.01                     |
| 19309 # | Goldman Sachs SP (Asia) – Ping An European Wts Dec 2016 A     | 190,000,000   | 2016/01/20   | 2016/12/30 | 11.40                     |
| 25679   | BNP Paribas Arbit Issu B.V. – HSI European Wts Aug 2016 C     | 100,000,000   | 2016/01/21   | 2016/08/30 | 15.00                     |
| 25691   | Goldman Sachs SP (Asia) – China Mobile Eu Put Wts Jun 2018 A  | 200,000,000   | 2016/01/21   | 2018/06/28 | 43.80                     |
| 25692   | Goldman Sachs SP (Asia) – HKEX European Warrants Nov 2016 B   | 300,000,000   | 2016/01/21   | 2016/11/14 | 75.00                     |
| 25689   | J P Morgan SP BV – BOCL European Warrants Oct 2016 B          | 100,000,000   | 2016/01/21   | 2016/10/03 | 25.10                     |
| 25688   | J P Morgan SP BV – China Life European Warrants Sep 2016 B    | 100,000,000   | 2016/01/21   | 2016/09/02 | 25.10                     |
| 25701   | J P Morgan SP BV – HSBC European Warrants Oct 2016 A          | 100,000,000   | 2016/01/21   | 2016/10/03 | 25.10                     |
| 25699   | J P Morgan SP BV – HSCEI European Put Warrants Oct 2016 A     | 200,000,000   | 2016/01/21   | 2016/10/28 | 50.20                     |
| 25686   | J P Morgan SP BV – HSI European Warrants Sep 2016 A           | 300,000,000   | 2016/01/21   | 2016/09/29 | 75.00                     |
| 25698   | J P Morgan SP BV – HSI European Put Warrants Aug 2016 C       | 300,000,000   | 2016/01/21   | 2016/08/30 | 75.00                     |
| 25702   | J P Morgan SP BV – PetroChina European Put Warrants Sep16A    | 100,000,000   | 2016/01/21   | 2016/09/01 | 42.80                     |
| 25700   | J P Morgan SP BV – Ping An European Warrants Oct 2016 B       | 100,000,000   | 2016/01/21   | 2016/10/03 | 34.10                     |
| 25690   | J P Morgan SP BV – Sands China European Warrants Sep 2016 A   | 100,000,000   | 2016/01/21   | 2016/09/02 | 25.00                     |
| 25684   | J P Morgan SP BV – Tracker Fund European Warrants Oct 2017 A  | 100,000,000   | 2016/01/21   | 2017/10/03 | 25.00                     |
| 25694   | Macquarie Bank Ltd. – CC Bank European Warrants Aug 2016 A    | 29,000,000    | 2016/01/21   | 2016/08/02 | 10.06                     |
| 25695   | Macquarie Bank Ltd. – Foxconn European Warrants Dec 2016 A    | 20,000,000    | 2016/01/21   | 2016/12/02 | 10.00                     |
| 25693   | Macquarie Bank Ltd. – Tencent European Warrants Aug 2016 C    | 11,000,000    | 2016/01/21   | 2016/08/02 | 10.02                     |
| 25710   | BOCI Asia Ltd. – A50 China European Warrants Dec 2017 A       | 100,000,000   | 2016/01/22   | 2017/12/27 | 17.00                     |
| 25706   | BOCI Asia Ltd. – HSBC European Warrants Aug 2016 A            | 100,000,000   | 2016/01/22   | 2016/08/05 | 25.00                     |
| 25709   | BOCI Asia Ltd. – HSBC European Put Warrants Jul 2016 B        | 100,000,000   | 2016/01/22   | 2016/07/12 | 35.00                     |
| 25712   | BOCI Asia Ltd. – HSI European Warrants Jul 2016 A             | 100,000,000   | 2016/01/22   | 2016/07/28 | 17.00                     |
| 25713   | BOCI Asia Ltd. – HSI European Put Warrants Oct 2016 A         | 100,000,000   | 2016/01/22   | 2016/10/28 | 25.00                     |
| 25727   | BNP Paribas Arbit Issu B.V. – CITIC Sec Euro Wts Aug 2016 A   | 40,000,000    | 2016/01/22   | 2016/08/02 | 10.00                     |
| 25723   | BNP Paribas Arbit Issu B.V. – HSBC European Wts Aug 2016 B    | 50,000,000    | 2016/01/22   | 2016/08/02 | 10.50                     |
| 25726   | BNP Paribas Arbit Issu B.V. – HSBC Euro Put Wts Sep 2016 B    | 40,000,000    | 2016/01/22   | 2016/09/02 | 12.80                     |
| 25741   | Credit Suisse AG – Ch Overseas European Warrants Aug 2016 A   | 50,000,000    | 2016/01/22   | 2016/08/03 | 12.50                     |
| 25740   | Credit Suisse AG – Galaxy Ent European Warrants Aug 2016 A    | 80,000,000    | 2016/01/22   | 2016/08/03 | 20.80                     |
| 25737   | Credit Suisse AG – Sands China European Warrants Aug 2016 A   | 80,000,000    | 2016/01/22   | 2016/08/03 | 16.00                     |

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|       |   | issue (units) | Listing date | Expiry     |                           |
| 25720 | Goldman Sachs SP (Asia) – HSI European Warrants May 2016 D    | 150,000,000   | 2016/01/22   | 2016/05/30 | 22.95                     |
| 25714 | Goldman Sachs SP (Asia) – HSI European Put Wts Apr 2016 I     | 150,000,000   | 2016/01/22   | 2016/04/28 | 27.30                     |
| 25722 | HK Bank – HSI European Warrants Jun 2016 G                    | 180,000,000   | 2016/01/22   | 2016/06/29 | 27.00                     |
| 25721 | HK Bank – HSI European Put Warrants Apr 2016 H                | 180,000,000   | 2016/01/22   | 2016/04/28 | 27.00                     |
| 25765 | J P Morgan SP BV – CC Bank European Wts Sep 2016 B            | 100,000,000   | 2016/01/22   | 2016/09/30 | 25.00                     |
| 25764 | J P Morgan SP BV – Ping An European Warrants Aug 2016 C       | 120,000,000   | 2016/01/22   | 2016/08/15 | 30.00                     |
| 25766 | J P Morgan SP BV – Tencent European Warrants Jun 2016 B       | 200,000,000   | 2016/01/22   | 2016/06/02 | 106.20                    |
| 25749 | Macquarie Bank Ltd. – Bank of EA European Wts Jan 2017 A      | 40,000,000    | 2016/01/22   | 2017/01/04 | 10.00                     |
| 25763 | Macquarie Bank Ltd. – CNOOC European Warrants Sep 2016 B      | 12,000,000    | 2016/01/22   | 2016/09/02 | 10.01                     |
| 25753 | Macquarie Bank Ltd. – CPIC European Warrants Oct 2016 A       | 40,000,000    | 2016/01/22   | 2016/10/04 | 10.00                     |
| 25745 | Macquarie Bank Ltd. – CSOP A50 ETF European Wts Jan 2017 B    | 60,000,000    | 2016/01/22   | 2017/01/04 | 10.02                     |
| 25742 | Macquarie Bank Ltd. – A50 China European Warrants Jan 2018 B  | 50,000,000    | 2016/01/22   | 2018/01/03 | 10.00                     |
| 25747 | Macquarie Bank Ltd. – HS H-SHARE European Warrants Aug 2016 A | 40,000,000    | 2016/01/22   | 2016/08/02 | 10.20                     |
| 25728 | SGA Societe Generale Acceptance N.V. – CCB Eur Wt Sep 2016 B  | 100,000,000   | 2016/01/22   | 2016/09/05 | 32.00                     |
| 25732 | SGA Societe Generale Acceptance N.V. – CMob Eu Put Wt Aug16D  | 80,000,000    | 2016/01/22   | 2016/08/03 | 23.20                     |
| 25734 | SGA Societe Generale Acceptance N.V. – HSBC Eu Put Wt Sep16A  | 100,000,000   | 2016/01/22   | 2016/09/05 | 32.50                     |
| 25729 | SGA Societe Generale Acceptance N.V. – ICBC Eu Wt Sep 2016 B  | 100,000,000   | 2016/01/22   | 2016/09/05 | 27.00                     |
| 25756 | UBS AG – CC Bank European Warrants Jul 2016 C                 | 100,000,000   | 2016/01/22   | 2016/07/29 | 27.00                     |
| 25758 | UBS AG – China Life European Warrants Aug 2016 A              | 100,000,000   | 2016/01/22   | 2016/08/01 | 25.00                     |
| 25760 | UBS AG – China Life European Warrants Aug 2016 B              | 100,000,000   | 2016/01/22   | 2016/08/08 | 32.50                     |
| 25761 | UBS AG – Hang Seng Bank European Warrants Aug 2016 A          | 20,000,000    | 2016/01/22   | 2016/08/22 | 10.00                     |
| 25757 | UBS AG – HSCEI European Warrants Dec 2016 C                   | 200,000,000   | 2016/01/22   | 2016/12/29 | 50.00                     |
| 25762 | UBS AG – ICBC European Warrants Jul 2016 B                    | 100,000,000   | 2016/01/22   | 2016/07/29 | 15.00                     |
| 25754 | UBS AG – SHK Ppt European Warrants Jul 2016 A                 | 50,000,000    | 2016/01/22   | 2016/07/21 | 33.00                     |
| 25775 | BNP Paribas Arbit Issu B.V. – China Life Euro Wts Jul 2017 A  | 60,000,000    | 2016/01/25   | 2017/07/04 | 16.20                     |
| 25776 | BNP Paribas Arbit Issu B.V. – HSBC European Wts Jul 2017 A    | 50,000,000    | 2016/01/25   | 2017/07/04 | 14.50                     |
| 25770 | BNP Paribas Arbit Issu B.V. – Ping An European Wt Jun 2017 A  | 40,000,000    | 2016/01/25   | 2017/06/02 | 14.40                     |
| 25777 | BNP Paribas Arbit Issu B.V. – Tencent Hldgs Eu Wt Jul 2017 A  | 100,000,000   | 2016/01/25   | 2017/07/04 | 25.00                     |
| 25769 | Goldman Sachs SP (Asia) – HKEX European Warrants Jun 2016 F   | 300,000,000   | 2016/01/25   | 2016/06/02 | 56.70                     |
| 25818 | Goldman Sachs SP (Asia) – HSBC European Warrants Jul 2016 C   | 80,000,000    | 2016/01/25   | 2016/07/28 | 24.16                     |
| 25819 | J P Morgan SP BV – BEA European Warrants Feb 2017 A           | 60,000,000    | 2016/01/25   | 2017/02/01 | 15.24                     |
| 25823 | J P Morgan SP BV – CITIC Bank European Warrants Sep 2016 A    | 100,000,000   | 2016/01/25   | 2016/09/02 | 31.50                     |
| 25790 | J P Morgan SP BV – China Life European Warrants Aug 2016 B    | 100,000,000   | 2016/01/25   | 2016/08/01 | 21.90                     |
| 25820 | J P Morgan SP BV – Henderson Land Dev European Wt Oct 2016 A  | 60,000,000    | 2016/01/25   | 2016/10/04 | 16.44                     |
| 25785 | J P Morgan SP BV – HSCEI European Wts Sep 2016 A              | 200,000,000   | 2016/01/25   | 2016/09/29 | 50.00                     |
| 25787 | J P Morgan SP BV – HSI European Warrants Aug 2016 D           | 300,000,000   | 2016/01/25   | 2016/08/30 | 75.00                     |
| 25824 | J P Morgan SP BV – ICBC European Warrants Oct 2016 B          | 100,000,000   | 2016/01/25   | 2016/10/04 | 25.50                     |
| 25825 | J P Morgan SP BV – KECL European Warrants Jul 2018 A          | 200,000,000   | 2016/01/25   | 2018/07/03 | 30.00                     |
| 25822 | J P Morgan SP BV – MTRC European Warrants Oct 2016 A          | 60,000,000    | 2016/01/25   | 2016/10/03 | 15.24                     |
| 10376 | J P Morgan SP BV – N225 Index Euro Wts Mar 2017 A             | 100,000,000   | 2016/01/25   | 2017/03/10 | 25.20                     |
| 25821 | J P Morgan SP BV – SHK Ppt European Warrants Jul 2016 A       | 60,000,000    | 2016/01/25   | 2016/07/25 | 16.20                     |
| 25791 | J P Morgan SP BV – Tencent European Warrants Jun 2016 C       | 200,000,000   | 2016/01/25   | 2016/06/15 | 30.00                     |
| 25826 | J P Morgan SP BV – ZTE European Warrants Mar 2017 A           | 60,000,000    | 2016/01/25   | 2017/03/01 | 15.18                     |
| 25784 | Macquarie Bank Ltd. – China Life European Wts Sep 2016 A      | 28,000,000    | 2016/01/25   | 2016/09/02 | 10.02                     |

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|-------|---|---------------|--------------|------------|---------------------------|
|       |   | issue (units) | Listing date | Expiry     |                           |
| 25794 | Macquarie Bank Ltd. – Haier Elec European Wts Mar 2017 A      | 28,000,000    | 2016/01/25   | 2017/03/16 | 10.02                     |
| 25783 | Macquarie Bank Ltd. – HKEX European Warrants Jun 2016 B       | 50,000,000    | 2016/01/25   | 2016/06/02 | 10.00                     |
| 25782 | Macquarie Bank Ltd. – HKEX European Warrants Nov 2016 A       | 40,000,000    | 2016/01/25   | 2016/11/02 | 10.00                     |
| 25805 | Macquarie Bank Ltd. – HKEX European Put Warrants Nov 2016 B   | 40,000,000    | 2016/01/25   | 2016/11/02 | 10.00                     |
| 25806 | Macquarie Bank Ltd. – Ping An European Warrants Oct 2016 A    | 40,000,000    | 2016/01/25   | 2016/10/04 | 10.00                     |
| 25810 | SGA Societe Generale Acceptance N.V. – CNOOC Eu Wt Jan 2019 A | 300,000,000   | 2016/01/25   | 2019/01/04 | 45.00                     |
| 25779 | SGA Societe Generale Acceptance N.V. – HSBC Eu Wt Oct 2016 B  | 100,000,000   | 2016/01/25   | 2016/10/05 | 32.50                     |
| 25808 | SGA Societe Generale Acceptance N.V. – HSI Eu Put Wt Jun16H   | 150,000,000   | 2016/01/25   | 2016/06/29 | 32.25                     |
| 25807 | SGA Societe Generale Acceptance N.V. – HSI Eu Put Wt Dec16A   | 150,000,000   | 2016/01/25   | 2016/12/29 | 33.75                     |
| 25780 | SGA Societe Generale Acceptance N.V. – Ping An Eu Wt Sep16D   | 120,000,000   | 2016/01/25   | 2016/09/05 | 30.00                     |
| 25809 | SGA Societe Generale Acceptance N.V. – Tencent Eu Wt Jan17D   | 500,000,000   | 2016/01/25   | 2017/01/05 | 92.50                     |
| 25801 | UBS AG – Agricultural Bank European Warrants Sep 2016 A       | 70,000,000    | 2016/01/25   | 2016/09/23 | 10.99                     |
| 25802 | UBS AG – CITIC Bank European Warrants Aug 2016 A              | 40,000,000    | 2016/01/25   | 2016/08/08 | 10.20                     |
| 25798 | UBS AG – HKEX European Warrants Sep 2016 A                    | 300,000,000   | 2016/01/25   | 2016/09/19 | 75.00                     |
| 25796 | UBS AG – HSCEI European Warrants Sep 2016 B                   | 200,000,000   | 2016/01/25   | 2016/09/29 | 50.00                     |
| 25797 | UBS AG – HSCEI European Warrants Dec 2016 D                   | 200,000,000   | 2016/01/25   | 2016/12/29 | 50.00                     |
| 25803 | UBS AG – HSI European Warrants Sep 2016 D                     | 300,000,000   | 2016/01/25   | 2016/09/29 | 75.00                     |
| 25804 | UBS AG – HSI European Warrants Sep 2016 E                     | 300,000,000   | 2016/01/25   | 2016/09/29 | 75.00                     |
| 25838 | BOCI Asia Ltd. – CNOOC European Warrants Aug 2016 B           | 100,000,000   | 2016/01/26   | 2016/08/17 | 58.00                     |
| 25831 | BOCI Asia Ltd. – Sinopec Corp European Warrants Aug 2016 A    | 100,000,000   | 2016/01/26   | 2016/08/12 | 34.00                     |
| 25841 | BNP Paribas Arbit Issu B.V. – HKEX European Wts Jun 2016 D    | 60,000,000    | 2016/01/26   | 2016/06/02 | 10.20                     |
| 25840 | BNP Paribas Arbit Issu B.V. – HKEX European Wts Oct 2016 B    | 60,000,000    | 2016/01/26   | 2016/10/04 | 11.40                     |
| 25850 | Credit Suisse AG – CNOOC European Warrants Aug 2016 A         | 60,000,000    | 2016/01/26   | 2016/08/03 | 28.20                     |
| 25842 | Credit Suisse AG – HKEX European Warrants Jun 2016 G          | 180,000,000   | 2016/01/26   | 2016/06/02 | 27.00                     |
| 25853 | Credit Suisse AG – HSBC European Put Warrants Aug 2016 B      | 60,000,000    | 2016/01/26   | 2016/08/02 | 19.20                     |
| 25848 | Credit Suisse AG – Stanchart European Warrants Jul 2016 A     | 50,000,000    | 2016/01/26   | 2016/07/29 | 23.50                     |
| 25827 | Bank of East Asia – CNOOC European Warrants Dec 2018 A        | 65,000,000    | 2016/01/26   | 2018/12/11 | 10.60                     |
| 25871 | Goldman Sachs SP (Asia) – China Life Euro Wts Jul 2016 C      | 80,000,000    | 2016/01/26   | 2016/07/28 | 33.28                     |
| 25867 | Goldman Sachs SP (Asia) – China Mobile Euro Wts Nov 2016 B    | 200,000,000   | 2016/01/26   | 2016/11/30 | 30.80                     |
| 25870 | Goldman Sachs SP (Asia) – Ping An European Wts Jul 2016 C     | 80,000,000    | 2016/01/26   | 2016/07/28 | 58.00                     |
| 25866 | Goldman Sachs SP (Asia) – Tencent European Wt Jul 2016 A      | 200,000,000   | 2016/01/26   | 2016/07/28 | 50.60                     |
| 25860 | J P Morgan SP BV – Ch Railway Cons European Wts Sep 2016 A    | 80,000,000    | 2016/01/26   | 2016/09/30 | 12.08                     |
| 25862 | J P Morgan SP BV – A50 China European Warrants Aug 2016 C     | 100,000,000   | 2016/01/26   | 2016/08/01 | 56.50                     |
| 25858 | J P Morgan SP BV – HKEX European Put Wts Nov 2016 B           | 100,000,000   | 2016/01/26   | 2016/11/02 | 25.00                     |
| 25859 | J P Morgan SP BV – HSBC European Put Warrants Sep 2016 B      | 100,000,000   | 2016/01/26   | 2016/09/01 | 30.00                     |
| 25861 | J P Morgan SP BV – China Mengniu European Wts Dec 2016 A      | 60,000,000    | 2016/01/26   | 2016/12/01 | 15.00                     |
| 25847 | Macquarie Bank Ltd. – CITIC Bank European Wts Oct 2016 A      | 33,000,000    | 2016/01/26   | 2016/10/04 | 10.07                     |
| 25844 | Macquarie Bank Ltd. – ICBC European Warrants Sep 2016 A       | 40,000,000    | 2016/01/26   | 2016/09/02 | 10.00                     |
| 25843 | Macquarie Bank Ltd. – ICBC European Warrants Nov 2016 A       | 40,000,000    | 2016/01/26   | 2016/11/02 | 10.00                     |
| 25839 | Macquarie Bank Ltd. – Ping An European Put Warrants Aug16A    | 40,000,000    | 2016/01/26   | 2016/08/02 | 10.00                     |
| 25854 | UBS AG – BOC HK European Warrants Mar 2017 A                  | 80,000,000    | 2016/01/26   | 2017/03/21 | 20.00                     |
| 25856 | UBS AG – ZTE European Warrants Nov 2016 A                     | 40,000,000    | 2016/01/26   | 2016/11/08 | 10.00                     |
| 25885 | BNP Paribas Arbit Issu B.V. – BOCL European Wts Oct 2016 B    | 50,000,000    | 2016/01/27   | 2016/10/04 | 12.50                     |
| 25874 | BNP Paribas Arbit Issu B.V. – CC Bank Euro Wts Aug 2016 C     | 50,000,000    | 2016/01/27   | 2016/08/02 | 13.00                     |

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|-------|--|---------------|--------------|------------|---------------------------|
|       |  | issue (units) | Listing date | Expiry     |                           |
| 25886 | BNP Paribas Arbit Issu B.V. – China Life Euro Wts Nov 2016 A   | 60,000,000    | 2016/01/27   | 2016/11/02 | 15.00                     |
| 25922 | BNP Paribas Arbit Issu B.V. – HSCEI Euro Put Wts Sep 2016 A    | 100,000,000   | 2016/01/27   | 2016/09/29 | 25.00                     |
| 25910 | BNP Paribas Arbit Issu B.V. – HSI European Wts Jul 2016 C      | 100,000,000   | 2016/01/27   | 2016/07/28 | 19.00                     |
| 25883 | BNP Paribas Arbit Issu B.V. – ICBC European Wts Aug 2016 A     | 50,000,000    | 2016/01/27   | 2016/08/02 | 12.50                     |
| 25919 | Credit Suisse AG – HSI European Warrants Jul 2016 C            | 150,000,000   | 2016/01/27   | 2016/07/28 | 22.50                     |
| 25921 | Credit Suisse AG – Ping An European Warrants Aug 2016 E        | 80,000,000    | 2016/01/27   | 2016/08/03 | 27.20                     |
| 25948 | Goldman Sachs SP (Asia) – HSI European Warrants Aug 2016 A     | 150,000,000   | 2016/01/27   | 2016/08/30 | 37.50                     |
| 25949 | Goldman Sachs SP (Asia) – HSI European Warrants Aug 2016 B     | 150,000,000   | 2016/01/27   | 2016/08/30 | 22.65                     |
| 25895 | HK Bank – CC Bank European Warrants Aug 2016 C                 | 80,000,000    | 2016/01/27   | 2016/08/31 | 24.00                     |
| 25893 | HK Bank – China Life European Warrants Jul 2016 B              | 100,000,000   | 2016/01/27   | 2016/07/18 | 18.00                     |
| 25894 | HK Bank – HKEX European Warrants Sep 2016 B                    | 180,000,000   | 2016/01/27   | 2016/09/30 | 34.20                     |
| 25908 | HK Bank – HSCEI European Warrants Jul 2016 C                   | 180,000,000   | 2016/01/27   | 2016/07/28 | 27.00                     |
| 25898 | HK Bank – HSI European Warrants Jul 2016 B                     | 180,000,000   | 2016/01/27   | 2016/07/28 | 32.40                     |
| 25909 | HK Bank – HSI European Warrants Jul 2016 C                     | 180,000,000   | 2016/01/27   | 2016/07/28 | 27.00                     |
| 25892 | HK Bank – Jiangxi Copper European Warrants Nov 2017 A          | 80,000,000    | 2016/01/27   | 2017/11/27 | 14.40                     |
| 25887 | HK Bank – KECL European Warrants Jun 2018 A                    | 80,000,000    | 2016/01/27   | 2018/06/29 | 12.00                     |
| 25890 | HK Bank – PICC European Warrants Nov 2016 A                    | 80,000,000    | 2016/01/27   | 2016/11/28 | 14.40                     |
| 25896 | HK Bank – Ping An European Warrants Jul 2016 B                 | 80,000,000    | 2016/01/27   | 2016/07/29 | 20.00                     |
| 25907 | J P Morgan SP BV – Anhui Conch European Warrants Nov 2016 A    | 80,000,000    | 2016/01/27   | 2016/11/01 | 20.00                     |
| 25945 | J P Morgan SP BV – Agricultural Bk Euro Warrants Aug 2016 A    | 100,000,000   | 2016/01/27   | 2016/08/01 | 15.60                     |
| 25935 | J P Morgan SP BV – AIA European Warrants Aug 2016 B            | 100,000,000   | 2016/01/27   | 2016/08/01 | 26.90                     |
| 25943 | J P Morgan SP BV – CITIC Sec European Warrants Aug 2016 B      | 100,000,000   | 2016/01/27   | 2016/08/01 | 20.30                     |
| 25947 | J P Morgan SP BV – Sinopec Corp European Warrants Aug 2016 B   | 100,000,000   | 2016/01/27   | 2016/08/30 | 38.60                     |
| 25905 | J P Morgan SP BV – CSOP A50 ETF European Warrants Dec 2016 C   | 200,000,000   | 2016/01/27   | 2016/12/01 | 30.40                     |
| 25906 | J P Morgan SP BV – A50 China European Warrants Dec 2017 A      | 200,000,000   | 2016/01/27   | 2017/12/29 | 35.80                     |
| 25933 | J P Morgan SP BV – Galaxy Ent European Warrants Aug 2016 B     | 100,000,000   | 2016/01/27   | 2016/08/02 | 25.00                     |
| 25936 | J P Morgan SP BV – HKEX European Warrants Oct 2016 A           | 200,000,000   | 2016/01/27   | 2016/10/03 | 31.00                     |
| 25940 | J P Morgan SP BV – HKEX European Warrants Nov 2016 C           | 200,000,000   | 2016/01/27   | 2016/11/01 | 50.20                     |
| 25931 | J P Morgan SP BV – HSBC European Warrants Aug 2016 A           | 100,000,000   | 2016/01/27   | 2016/08/01 | 25.50                     |
| 25903 | J P Morgan SP BV – HSCEI European Wts Aug 2016 A               | 200,000,000   | 2016/01/27   | 2016/08/30 | 50.20                     |
| 25902 | J P Morgan SP BV – HSI European Warrants Aug 2016 E            | 300,000,000   | 2016/01/27   | 2016/08/30 | 75.60                     |
| 25901 | J P Morgan SP BV – HSI European Warrants Sep 2016 B            | 300,000,000   | 2016/01/27   | 2016/09/29 | 75.30                     |
| 25946 | J P Morgan SP BV – HSI European Put Warrants Aug 2016 F        | 300,000,000   | 2016/01/27   | 2016/08/30 | 76.50                     |
| 25941 | J P Morgan SP BV – PetroChina European Warrants Aug 2016 D     | 100,000,000   | 2016/01/27   | 2016/08/02 | 41.50                     |
| 25926 | SGA Societe Generale Acceptance N.V. – AIA Eur Wt Oct 2016 B   | 100,000,000   | 2016/01/27   | 2016/10/05 | 39.50                     |
| 25912 | SGA Societe Generale Acceptance N.V. – CLife Eu Wt Aug 2016 E  | 150,000,000   | 2016/01/27   | 2016/08/03 | 43.50                     |
| 25929 | SGA Societe Generale Acceptance N.V. – CP&CC Eu Wt Sep 2016 A  | 80,000,000    | 2016/01/27   | 2016/09/05 | 27.20                     |
| 25924 | SGA Societe Generale Acceptance N.V. – Galaxy Ent Eu Wt Nov16A | 80,000,000    | 2016/01/27   | 2016/11/03 | 31.20                     |
| 25927 | SGA Societe Generale Acceptance N.V. – HSBC Eu Wt Aug 2016 B   | 100,000,000   | 2016/01/27   | 2016/08/03 | 32.00                     |
| 25915 | SGA Societe Generale Acceptance N.V. – HSI Eur Wt Jul 2016 C   | 150,000,000   | 2016/01/27   | 2016/07/28 | 23.25                     |
| 25913 | SGA Societe Generale Acceptance N.V. – HSI Eur Wt Dec 2016 B   | 150,000,000   | 2016/01/27   | 2016/12/29 | 37.50                     |
| 25917 | SGA Societe Generale Acceptance N.V. – HSI Eu Put Wt Aug16C    | 150,000,000   | 2016/01/27   | 2016/08/30 | 37.50                     |
| 25916 | SGA Societe Generale Acceptance N.V. – HSI Eu Put Wt Sep16C    | 150,000,000   | 2016/01/27   | 2016/09/29 | 37.50                     |
| 25928 | SGA Societe Generale Acceptance N.V. – Ping An Eu Wt Sep16E    | 120,000,000   | 2016/01/27   | 2016/09/05 | 51.00                     |



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|         |  | issue (units) | Listing date | Expiry     |                           |
| 18428 # | Credit Suisse AG – Ping An European Warrants Oct 2016 A      | 250,000,000   | 2016/01/27   | 2016/10/28 | 13.50                     |
| 18595 # | Credit Suisse AG – A50 China European Warrants Dec 2016 C    | 250,000,000   | 2016/01/27   | 2016/12/23 | 12.25                     |
| 25952   | BNP Paribas Arbit Issu B.V. – CKH European Wts Jul 2016 B    | 50,000,000    | 2016/01/28   | 2016/07/05 | 10.00                     |
| 25953   | BNP Paribas Arbit Issu B.V. – CKP European Warrants Aug16A   | 40,000,000    | 2016/01/28   | 2016/08/02 | 10.00                     |
| 25995   | Credit Suisse AG – AIA European Put Warrants Aug 2016 B      | 70,000,000    | 2016/01/28   | 2016/08/04 | 17.50                     |
| 25998   | Credit Suisse AG – BOC HK European Warrants Aug 2016 B       | 70,000,000    | 2016/01/28   | 2016/08/30 | 17.50                     |
| 26000   | Credit Suisse AG – CITIC Sec European Warrants Aug 2016 A    | 70,000,000    | 2016/01/28   | 2016/08/05 | 17.50                     |
| 25996   | Credit Suisse AG – China Life European Warrants Aug 2016 E   | 80,000,000    | 2016/01/28   | 2016/08/03 | 20.00                     |
| 26004   | Credit Suisse AG – HKEX European Warrants Aug 2016 A         | 180,000,000   | 2016/01/28   | 2016/08/03 | 45.00                     |
| 26006   | Credit Suisse AG – HKEX European Put Warrants Nov 2016 B     | 120,000,000   | 2016/01/28   | 2016/11/03 | 30.00                     |
| 25997   | Credit Suisse AG – HSBC European Wts Sep 2016 A              | 120,000,000   | 2016/01/28   | 2016/09/05 | 42.00                     |
| 25994   | Credit Suisse AG – HSI European Put Warrants Aug 2016 B      | 150,000,000   | 2016/01/28   | 2016/08/30 | 37.50                     |
| 25999   | Credit Suisse AG – Tencent Holdings European Wts Oct 2016 B  | 150,000,000   | 2016/01/28   | 2016/10/05 | 37.50                     |
| 26039   | Goldman Sachs SP (Asia) – HSCEI European Put Wts Aug 2016 B  | 150,000,000   | 2016/01/28   | 2016/08/30 | 37.50                     |
| 26036   | Goldman Sachs SP (Asia) – HSI European Put Wts Aug 2016 C    | 150,000,000   | 2016/01/28   | 2016/08/30 | 37.50                     |
| 26037   | Goldman Sachs SP (Asia) – HSI European Put Wts Sep 2016 B    | 150,000,000   | 2016/01/28   | 2016/09/29 | 37.50                     |
| 25967   | HK Bank – AIA European Warrants Aug 2016 B                   | 80,000,000    | 2016/01/28   | 2016/08/31 | 24.00                     |
| 25965   | HK Bank – CKP European Warrants Oct 2016 A                   | 50,000,000    | 2016/01/28   | 2016/10/31 | 17.50                     |
| 25970   | HK Bank – HSCEI European Put Warrants Dec 2016 A             | 180,000,000   | 2016/01/28   | 2016/12/29 | 45.00                     |
| 25959   | HK Bank – HSI European Warrants Aug 2016 A                   | 180,000,000   | 2016/01/28   | 2016/08/30 | 27.00                     |
| 25960   | HK Bank – HSI European Warrants Sep 2016 B                   | 180,000,000   | 2016/01/28   | 2016/09/29 | 27.00                     |
| 25964   | HK Bank – HSI European Warrants Dec 2016 A                   | 180,000,000   | 2016/01/28   | 2016/12/29 | 27.00                     |
| 25969   | HK Bank – HSI European Put Warrants Sep 2016 C               | 180,000,000   | 2016/01/28   | 2016/09/29 | 45.00                     |
| 25968   | HK Bank – PetroChina European Warrants Sep 2016 A            | 80,000,000    | 2016/01/28   | 2016/09/30 | 28.00                     |
| 26002   | J P Morgan SP BV – Ch Comm Cons European Warrants Dec 2016 A | 100,000,000   | 2016/01/28   | 2016/12/30 | 15.00                     |
| 26019   | J P Morgan SP BV – CKP European Warrants Nov 2016 A          | 100,000,000   | 2016/01/28   | 2016/11/01 | 29.00                     |
| 26012   | J P Morgan SP BV – Minsheng Bank European Wts Dec 2018 A     | 100,000,000   | 2016/01/28   | 2018/12/03 | 17.40                     |
| 26007   | J P Morgan SP BV – CNOOC European Warrants Sep 2016 B        | 100,000,000   | 2016/01/28   | 2016/09/30 | 32.80                     |
| 26020   | J P Morgan SP BV – HSI European Warrants Oct 2016 A          | 300,000,000   | 2016/01/28   | 2016/10/28 | 75.00                     |
| 25951   | J P Morgan SP BV – HSI European Put Warrants Apr 2016 I      | 300,000,000   | 2016/01/28   | 2016/04/28 | 45.00                     |
| 26015   | J P Morgan SP BV – Ping An European Put Warrants Sep 2016 B  | 100,000,000   | 2016/01/28   | 2016/09/01 | 30.20                     |
| 26022   | Macquarie Bank Ltd. – China Mobile European Wts Jul 2016 D   | 40,000,000    | 2016/01/28   | 2016/07/05 | 10.00                     |
| 26023   | Macquarie Bank Ltd. – China Mobile European Wts Aug 2016 B   | 40,000,000    | 2016/01/28   | 2016/08/02 | 10.00                     |
| 25975   | Macquarie Bank Ltd. – Sinopec Corp European Wts Nov 2016 A   | 25,000,000    | 2016/01/28   | 2016/11/02 | 10.03                     |
| 26035   | Macquarie Bank Ltd. – R&F Ppt European Warrants Mar 2017 B   | 40,000,000    | 2016/01/28   | 2017/03/07 | 10.00                     |
| 26025   | Macquarie Bank Ltd. – HKEX European Warrants Jun 2016 C      | 67,000,000    | 2016/01/28   | 2016/06/02 | 10.05                     |
| 26024   | Macquarie Bank Ltd. – HKEX European Warrants Oct 2016 B      | 55,000,000    | 2016/01/28   | 2016/10/03 | 10.01                     |
| 25956   | Macquarie Bank Ltd. – HKEX European Put Warrants Dec 2016 A  | 40,000,000    | 2016/01/28   | 2016/12/02 | 10.00                     |
| 26027   | Macquarie Bank Ltd. – HSBC European Warrants Aug 2016 C      | 40,000,000    | 2016/01/28   | 2016/08/02 | 10.00                     |
| 26031   | Macquarie Bank Ltd. – HSBC European Put Warrants Aug 2016 D  | 40,000,000    | 2016/01/28   | 2016/08/02 | 10.00                     |
| 26028   | Macquarie Bank Ltd. – HSBC European Put Warrants Oct 2016 A  | 40,000,000    | 2016/01/28   | 2016/10/04 | 10.04                     |
| 26033   | Macquarie Bank Ltd. – PetroChina European Wts Aug 2016 B     | 20,000,000    | 2016/01/28   | 2016/08/02 | 12.40                     |
| 25957   | Macquarie Bank Ltd. – PICC P&C European Warrants Feb 2017 A  | 40,000,000    | 2016/01/28   | 2017/02/02 | 10.00                     |
| 25950   | Macquarie Bank Ltd. – Tencent European Warrants Aug 2016 D   | 10,000,000    | 2016/01/28   | 2016/08/02 | 15.99                     |

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|       |   | issue (units) | Listing date | Expiry     |                           |
| 26034 | Macquarie Bank Ltd. – China Vanke European Warrants Jan 17 A    | 30,000,000    | 2016/01/28   | 2017/01/04 | 10.71                     |
| 25990 | SGA Societe Generale Acceptance N.V. – CAM CSI300 Eu Wt Oct16A  | 50,000,000    | 2016/01/28   | 2016/10/05 | 22.00                     |
| 25991 | SGA Societe Generale Acceptance NV – CSOP A50 ETF Eu Wt Nov17A  | 300,000,000   | 2016/01/28   | 2017/11/03 | 75.00                     |
| 25971 | SGA Societe Generale Acceptance N.V. – HKEX Eu Wt Sep 2016 B    | 200,000,000   | 2016/01/28   | 2016/09/05 | 50.00                     |
| 25972 | SGA Societe Generale Acceptance N.V. – HKEX Eu Wt Sep 2017 A    | 200,000,000   | 2016/01/28   | 2017/09/05 | 50.00                     |
| 25974 | SGA Societe Generale Acceptance N.V. – HKEX Eu Put Wt Oct16C    | 200,000,000   | 2016/01/28   | 2016/10/05 | 50.00                     |
| 25992 | SGA Societe Generale Acceptance N.V. – HS H-SHARE Eu Wts Sep16B | 50,000,000    | 2016/01/28   | 2016/09/05 | 32.00                     |
| 25979 | UBS AG – HKEX European Warrants Sep 2016 B                      | 300,000,000   | 2016/01/28   | 2016/09/26 | 75.00                     |
| 25980 | UBS AG – HKEX European Warrants Dec 2016 B                      | 300,000,000   | 2016/01/28   | 2016/12/19 | 75.00                     |
| 25981 | UBS AG – HKEX European Put Warrants Oct 2016 C                  | 100,000,000   | 2016/01/28   | 2016/10/17 | 25.00                     |
| 25989 | UBS AG – HSCEI European Warrants Sep 2016 C                     | 200,000,000   | 2016/01/28   | 2016/09/29 | 50.00                     |
| 26003 | UBS AG – HSCEI European Put Warrants Sep 2016 D                 | 200,000,000   | 2016/01/28   | 2016/09/29 | 50.00                     |
| 25984 | UBS AG – HSI European Warrants Sep 2016 F                       | 300,000,000   | 2016/01/28   | 2016/09/29 | 75.00                     |
| 25986 | UBS AG – HSI European Warrants Sep 2016 G                       | 300,000,000   | 2016/01/28   | 2016/09/29 | 75.00                     |
| 25985 | UBS AG – HSI European Warrants Dec 2016 C                       | 300,000,000   | 2016/01/28   | 2016/12/29 | 84.00                     |
| 25988 | UBS AG – HSI European Warrants Dec 2016 D                       | 300,000,000   | 2016/01/28   | 2016/12/29 | 105.00                    |
| 25983 | UBS AG – Ping An European Warrants Aug 2016 D                   | 100,000,000   | 2016/01/28   | 2016/08/01 | 29.50                     |
| 25977 | UBS AG – Tencent Holdings European Warrants Oct 2016 B          | 300,000,000   | 2016/01/28   | 2016/10/24 | 75.00                     |
| 25976 | UBS AG – Tencent Holdings European Warrants Dec 2016 C          | 300,000,000   | 2016/01/28   | 2016/12/28 | 57.60                     |
| 25978 | UBS AG – Tencent Holdings European Warrants Dec 2016 D          | 300,000,000   | 2016/01/28   | 2016/12/28 | 45.30                     |
| 26044 | BOCI Asia Ltd. – HKEX European Warrants Aug 2016 A              | 100,000,000   | 2016/01/29   | 2016/08/05 | 22.00                     |
| 26045 | BOCI Asia Ltd. – HKEX European Warrants Oct 2016 A              | 100,000,000   | 2016/01/29   | 2016/10/24 | 16.00                     |
| 26046 | BOCI Asia Ltd. – HKEX European Put Warrants Dec 2016 B          | 100,000,000   | 2016/01/29   | 2016/12/28 | 27.00                     |
| 26047 | BOCI Asia Ltd. – Ping An European Put Warrants Sep 2016 C       | 100,000,000   | 2016/01/29   | 2016/09/26 | 33.00                     |
| 26049 | BOCI Asia Ltd. – Tracker Fund European Warrants Dec 2016 B      | 100,000,000   | 2016/01/29   | 2016/12/28 | 20.00                     |
| 26051 | BOCI Asia Ltd. – Tracker Fund European Put Wts Feb 2017 A       | 100,000,000   | 2016/01/29   | 2017/02/14 | 25.00                     |
| 26055 | BNP Paribas Arbit Issu B.V. – China Life Euro Wts Aug 2016 C    | 60,000,000    | 2016/01/29   | 2016/08/02 | 10.20                     |
| 26052 | BNP Paribas Arbit Issu B.V. – HSI Euro Put Wts Aug 2016 D       | 100,000,000   | 2016/01/29   | 2016/08/30 | 27.00                     |
| 26054 | BNP Paribas Arbit Issu B.V. – Ping An Eur Put Wts Oct 2016 B    | 60,000,000    | 2016/01/29   | 2016/10/04 | 16.20                     |
| 26104 | Goldman Sachs SP (Asia) – CITIC Bank European Wts Jul 2016 A    | 60,000,000    | 2016/01/29   | 2016/07/29 | 18.48                     |
| 26105 | Goldman Sachs SP (Asia) – CKP European Warrants Jul 2016 A      | 60,000,000    | 2016/01/29   | 2016/07/29 | 15.00                     |
| 26092 | Goldman Sachs SP (Asia) – HSI European Warrants Aug 2016 D      | 150,000,000   | 2016/01/29   | 2016/08/30 | 37.50                     |
| 26103 | Goldman Sachs Sp (Asia) – ICBC European Warrants Aug 2016 A     | 100,000,000   | 2016/01/29   | 2016/08/30 | 25.70                     |
| 26102 | Goldman Sachs SP (Asia) – China Vanke European Wts Sep 2016 A   | 60,000,000    | 2016/01/29   | 2016/09/29 | 15.00                     |
| 26093 | J P Morgan SP BV – China Gas Hold European Wts Dec 2017 A       | 100,000,000   | 2016/01/29   | 2017/12/29 | 25.20                     |
| 26059 | J P Morgan SP BV – CNOOC European Put Warrants Dec 2018 B       | 200,000,000   | 2016/01/29   | 2018/12/31 | 50.00                     |
| 26094 | J P Morgan SP BV – Sands China European Warrants Nov 2016 A     | 100,000,000   | 2016/01/29   | 2016/11/03 | 25.00                     |
| 26095 | J P Morgan SP BV – Wharf European Warrants Aug 2016 A           | 60,000,000    | 2016/01/29   | 2016/08/02 | 15.12                     |
| 26078 | Macquarie Bank Ltd. – BJ Ent Water European Wts Oct 2016 A      | 22,000,000    | 2016/01/29   | 2016/10/04 | 10.21                     |
| 26043 | Macquarie Bank Ltd. – China Life European Put Warrants Dec16A   | 40,000,000    | 2016/01/29   | 2016/12/02 | 10.00                     |
| 26060 | Macquarie Bank Ltd. – Henganintl European Wts Oct 2016 A        | 35,000,000    | 2016/01/29   | 2016/10/04 | 10.50                     |
| 26080 | Macquarie Bank Ltd. – NCI European Warrants Nov 2016 A          | 25,000,000    | 2016/01/29   | 2016/11/02 | 10.23                     |
| 26042 | Macquarie Bank Ltd. – PICC Group European Wts Sep 2016 A        | 22,000,000    | 2016/01/29   | 2016/09/02 | 10.03                     |
| 26072 | Macquarie Bank Ltd. – Ping An European Warrants Jul 2016 A      | 80,000,000    | 2016/01/29   | 2016/07/05 | 12.00                     |

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| Code    | Derivative warrants   | No. of        |              |            | Amount raised (HK\$ mil.) |
|---------|---|---------------|--------------|------------|---------------------------|
|         |   | issue (units) | Listing date | Expiry     |                           |
| 26061   | SGA Societe Generale Acceptance N.V. – AIA Eu Put Wt Sep16 A    | 100,000,000   | 2016/01/29   | 2016/09/05 | 25.00                     |
| 26081   | SGA Societe Generale Acceptance N.V. – BOCL Eu Put Wt Nov16A    | 80,000,000    | 2016/01/29   | 2016/11/03 | 20.00                     |
| 26082   | SGA Societe Generale Acceptance N.V. – CCB Euro Put Wt Oct16A   | 80,000,000    | 2016/01/29   | 2016/10/05 | 32.40                     |
| 26063   | SGA Societe Generale Acceptance N.V. – CLife Eu Put Wt Dec16A   | 150,000,000   | 2016/01/29   | 2016/12/05 | 37.50                     |
| 26069   | SGA Societe Generale Acceptance N.V. – HSBC Eu Put Wt Sep16 B   | 100,000,000   | 2016/01/29   | 2016/09/05 | 25.50                     |
| 26064   | SGA Societe Generale Acceptance N.V. – HSI Eur Wt Sep 2016 D    | 150,000,000   | 2016/01/29   | 2016/09/29 | 28.50                     |
| 26083   | SGA Societe Generale Acceptance N.V. – ICBC Eu Put Wt Oct16A    | 80,000,000    | 2016/01/29   | 2016/10/05 | 27.60                     |
| 26084   | SGA Societe Generale Acceptance N.V. – Tencent Eu Put Wt Oct16B | 300,000,000   | 2016/01/29   | 2016/10/05 | 54.00                     |
| 26087   | UBS AG – AIA European Warrants Aug 2016 A                       | 100,000,000   | 2016/01/29   | 2016/08/01 | 45.50                     |
| 26085   | UBS AG – AIA European Warrants Oct 2016 A                       | 100,000,000   | 2016/01/29   | 2016/10/11 | 39.00                     |
| 26091   | UBS AG – China Mobile European Warrants Oct 2016 A              | 100,000,000   | 2016/01/29   | 2016/10/26 | 104.00                    |
| 26088   | UBS AG – HSBC European Warrants Sep 2016 A                      | 100,000,000   | 2016/01/29   | 2016/09/05 | 34.00                     |
| 25721 # | HK Bank – HSI European Put Warrants Apr 2016 H                  | 150,000,000   | 2016/01/29   | 2016/04/28 | 26.25                     |
| 26108   | Credit Suisse AG – Tencent Holdings Euro Put Wts Oct 2016 C     | 100,000,000   | 2016/02/01   | 2016/10/04 | 15.00                     |
| 26134   | Credit Suisse AG – Tracker Fund European Warrants May 2017 A    | 80,000,000    | 2016/02/01   | 2017/05/31 | 20.00                     |
| 26135   | J P Morgan SP BV – Geely Auto European Warrants Sep 2016 A      | 60,000,000    | 2016/02/01   | 2016/09/22 | 22.08                     |
| 26136   | J P Morgan SP BV – Wynn Macau European Warrants Dec 2017 A      | 80,000,000    | 2016/02/01   | 2017/12/29 | 20.00                     |
| 26118   | Macquarie Bank Ltd. – China Overseas European Put Wts Sep16A    | 40,000,000    | 2016/02/01   | 2016/09/02 | 10.00                     |
| 26110   | SGA Societe Generale Acceptance N.V. – AGBK Eu Wt Aug 2016 B    | 100,000,000   | 2016/02/01   | 2016/08/03 | 16.50                     |
| 26111   | SGA Societe Generale Acceptance N.V. – AGBK Eu Wt Mar 2017 A    | 100,000,000   | 2016/02/01   | 2017/03/03 | 25.00                     |
| 26112   | SGA Societe Generale Acceptance N.V. – BOCHK Eu Wt Feb 2017A    | 50,000,000    | 2016/02/01   | 2017/02/03 | 12.50                     |
| 26123   | SGA Societe Generale Acceptance N.V. – BOCL Eu Wt Mar 2017 A    | 100,000,000   | 2016/02/01   | 2017/03/03 | 25.00                     |
| 26127   | SGA Societe Generale Acceptance N.V. – CCB Eur Wt Jan 2017 A    | 100,000,000   | 2016/02/01   | 2017/01/05 | 27.00                     |
| 26124   | SGA Societe Generale Acceptance N.V. – CKP Euro Wts Nov16A      | 50,000,000    | 2016/02/01   | 2016/11/03 | 18.75                     |
| 26114   | SGA Societe Generale Acceptance N.V. – Galaxy Ent Eu Wt Sep16A  | 80,000,000    | 2016/02/01   | 2016/09/05 | 23.20                     |
| 26131   | SGA Societe Generale Acceptance N.V. – HSCEI Eu Put Wt Sep16C   | 150,000,000   | 2016/02/01   | 2016/09/29 | 32.25                     |
| 26126   | SGA Societe Generale Acceptance N.V. – ICBC Eu Wt Feb 2017 A    | 100,000,000   | 2016/02/01   | 2017/02/03 | 25.00                     |
| 26116   | SGA Societe Generale Acceptance N.V. – Ping An Eu Put Wt Oct16A | 120,000,000   | 2016/02/01   | 2016/10/05 | 34.80                     |
| 26117   | SGA Societe Generale Acceptance N.V. – Sands China Eu Wt Nov16A | 80,000,000    | 2016/02/01   | 2016/11/03 | 20.00                     |
| 26107   | UBS AG – China Mobile European Put Warrants Aug 2016 A          | 50,000,000    | 2016/02/01   | 2016/08/29 | 22.00                     |
| 26122   | UBS AG – CSOP A50 ETF European Warrants Nov 2016 B              | 300,000,000   | 2016/02/01   | 2016/11/28 | 46.50                     |
| 26121   | UBS AG – HSI European Warrants Sep 2016 I                       | 300,000,000   | 2016/02/01   | 2016/09/29 | 75.00                     |
| 26106   | UBS AG – HSI European Put Warrants Sep 2016 H                   | 300,000,000   | 2016/02/01   | 2016/09/29 | 75.00                     |
| 11012 # | Goldman Sachs SP (Asia) – HSI European Put Wts Apr 2016 C       | 100,000,000   | 2016/02/01   | 2016/04/28 | 17.20                     |
| 26140   | BNP Paribas Arbit Issu B.V. – BOCL European Wts Aug 2017 A      | 50,000,000    | 2016/02/02   | 2017/08/02 | 16.00                     |
| 26138   | BNP Paribas Arbit Issu B.V. – CC Bank Euro Wts Aug 2017 A       | 50,000,000    | 2016/02/02   | 2017/08/02 | 21.50                     |
| 26139   | BNP Paribas Arbit Issu B.V. – ICBC European Wts Aug 2017 A      | 50,000,000    | 2016/02/02   | 2017/08/02 | 19.50                     |
| 26163   | Goldman Sachs SP (Asia) – CC Bank European Wts Aug 2016 A       | 100,000,000   | 2016/02/02   | 2016/08/02 | 29.20                     |
| 26160   | Goldman Sachs SP (Asia) – CNOOC European Warrants Aug 2016 A    | 60,000,000    | 2016/02/02   | 2016/08/05 | 39.60                     |
| 26159   | Goldman Sachs SP (Asia) – HSBC European Warrants Sep 2016 A     | 100,000,000   | 2016/02/02   | 2016/09/02 | 34.80                     |
| 26162   | Goldman Sachs SP (Asia) – SHK Ppt European Wts Oct 2017 A       | 200,000,000   | 2016/02/02   | 2017/10/27 | 30.20                     |
| 26143   | HK Bank – HSI European Put Warrants May 2016 G                  | 250,000,000   | 2016/02/02   | 2016/05/30 | 60.00                     |
| 26147   | HK Bank – HSI European Put Warrants Jul 2016 D                  | 250,000,000   | 2016/02/02   | 2016/07/28 | 72.50                     |
| 26142   | HK Bank – HSI European Put Warrants Aug 2016 B                  | 250,000,000   | 2016/02/02   | 2016/08/30 | 62.50                     |

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|---------|---|---------------|--------------|------------|---------------------------|
|         |   | issue (units) | Listing date | Expiry     |                           |
| 26151   | J P Morgan SP BV – China Life European Warrants Oct 2016 C    | 100,000,000   | 2016/02/02   | 2016/10/03 | 25.10                     |
| 26157   | J P Morgan SP BV – CNOOC European Warrants Nov 2018 A         | 200,000,000   | 2016/02/02   | 2018/11/30 | 30.40                     |
| 26152   | J P Morgan SP BV – HSBC European Warrants Sep 2016 C          | 100,000,000   | 2016/02/02   | 2016/09/01 | 25.30                     |
| 26155   | J P Morgan SP BV – HSI European Put Warrants Oct 2016 B       | 300,000,000   | 2016/02/02   | 2016/10/28 | 75.30                     |
| 26153   | J P Morgan SP BV – Ping An European Warrants Aug 2016 D       | 100,000,000   | 2016/02/02   | 2016/08/10 | 31.00                     |
| 26148   | Macquarie Bank Ltd. – BOCL European Warrants Sep 2016 A       | 27,000,000    | 2016/02/02   | 2016/09/02 | 10.02                     |
| 26137   | Macquarie Bank Ltd. – CMS European Warrants Dec 2017 A        | 33,000,000    | 2016/02/02   | 2017/12/18 | 10.03                     |
| 26149   | Macquarie Bank Ltd. – Chi Res Land European Wts Dec 2016 A    | 35,000,000    | 2016/02/02   | 2016/12/02 | 10.29                     |
| 26141   | SGA Societe Generale Acceptance N.V. – HKEX Eu Wt Mar 2017 B  | 200,000,000   | 2016/02/02   | 2017/03/03 | 50.00                     |
| 26188   | BNP Paribas Arbit Issu B.V. – A50 China Euro Wts Jan 2018 A   | 100,000,000   | 2016/02/03   | 2018/01/03 | 15.00                     |
| 26182   | BNP Paribas Arbit Issu B.V. – HS H-SHARE Euro Wts Aug 2016 A  | 40,000,000    | 2016/02/03   | 2016/08/02 | 10.00                     |
| 10377   | BNP Paribas Arbit Issu B.V. – Oil Futures Euro Wt Nov 2016 C  | 50,000,000    | 2016/02/03   | 2016/11/17 | 12.50                     |
| 26185   | BNP Paribas Arbit Issu B.V. – Tracker Fund Euro Wts Mar 17 A  | 80,000,000    | 2016/02/03   | 2017/03/02 | 20.00                     |
| 26193   | Goldman Sachs SP (Asia) – BOCL European Warrants Aug 2016 B   | 100,000,000   | 2016/02/03   | 2016/08/03 | 25.50                     |
| 26192   | Goldman Sachs SP (Asia) – A50 China European Wts Aug 2016 C   | 80,000,000    | 2016/02/03   | 2016/08/03 | 67.36                     |
| 26190   | Goldman Sachs SP (Asia) – HSI European Put Wts May 2016 E     | 150,000,000   | 2016/02/03   | 2016/05/30 | 35.85                     |
| 26191   | Goldman Sachs SP (Asia) – HSI European Put Wts May 2016 F     | 150,000,000   | 2016/02/03   | 2016/05/30 | 33.30                     |
| 26195   | J P Morgan SP BV – CSOP A50 ETF European Warrants Aug 2016 B  | 100,000,000   | 2016/02/03   | 2016/08/02 | 28.70                     |
| 26196   | J P Morgan SP BV – HKEX European Put Wts Jul 2016 C           | 200,000,000   | 2016/02/03   | 2016/07/06 | 30.00                     |
| 26176   | Macquarie Bank Ltd. – Ch Oilfield European Wts Oct 2018 A     | 40,000,000    | 2016/02/03   | 2018/10/16 | 10.00                     |
| 26180   | SGA Societe Generale Acceptance N.V. – A50 Ch Eu Wt Jan 2018B | 300,000,000   | 2016/02/03   | 2018/01/04 | 45.00                     |
| 26166   | UBS AG – CAM CSI300 European Warrants Sep 2016 A              | 50,000,000    | 2016/02/03   | 2016/09/23 | 17.00                     |
| 26168   | UBS AG – HSBC European Warrants Sep 2016 B                    | 100,000,000   | 2016/02/03   | 2016/09/12 | 44.00                     |
| 26169   | UBS AG – HS H-SHARE European Warrants Jul 2016 A              | 50,000,000    | 2016/02/03   | 2016/07/21 | 18.25                     |
| 26171   | UBS AG – HS H-SHARE European Warrants Jul 2016 B              | 50,000,000    | 2016/02/03   | 2016/07/28 | 12.50                     |
| 26175   | UBS AG – Tracker Fund European Warrants Nov 2016 A            | 200,000,000   | 2016/02/03   | 2016/11/28 | 50.00                     |
| 26173   | UBS AG – Tracker Fund European Warrants Sep 2017 A            | 200,000,000   | 2016/02/03   | 2017/09/26 | 36.60                     |
| 26198   | BOCI Asia Ltd. – CC Bank European Warrants Sep 2016 A         | 100,000,000   | 2016/02/04   | 2016/09/30 | 20.60                     |
| 26197   | BOCI Asia Ltd. – China Life European Warrants Aug 2016 B      | 100,000,000   | 2016/02/04   | 2016/08/08 | 21.70                     |
| 26204   | Credit Suisse AG – China Life European Warrants Aug 2016 F    | 80,000,000    | 2016/02/04   | 2016/08/05 | 20.00                     |
| 26211   | Goldman Sachs SP (Asia) – CAM CSI300 European Wts Aug 2016 A  | 80,000,000    | 2016/02/04   | 2016/08/26 | 21.20                     |
| 26209   | Goldman Sachs SP (Asia) – Galaxy Ent European Wts Aug 2016 B  | 100,000,000   | 2016/02/04   | 2016/08/05 | 28.50                     |
| 26206   | Goldman Sachs SP (Asia) – HSI European Warrants Sep 2016 C    | 150,000,000   | 2016/02/04   | 2016/09/29 | 22.80                     |
| 26203   | HK Bank – China Life European Warrants Jul 2016 C             | 100,000,000   | 2016/02/04   | 2016/07/29 | 15.00                     |
| 26200   | HK Bank – HSCEI European Warrants Aug 2016 A                  | 180,000,000   | 2016/02/04   | 2016/08/30 | 45.00                     |
| 26201   | HK Bank – HSI European Warrants Aug 2016 C                    | 250,000,000   | 2016/02/04   | 2016/08/30 | 62.50                     |
| 26199   | HK Bank – Tencent European Warrants Nov 2016 A                | 150,000,000   | 2016/02/04   | 2016/11/28 | 22.50                     |
| 26205   | J P Morgan SP BV – China Taiping European Wts Nov 2016 A      | 80,000,000    | 2016/02/04   | 2016/11/30 | 21.36                     |
| 26207   | UBS AG – AIA European Put Warrants Sep 2016 A                 | 50,000,000    | 2016/02/04   | 2016/09/26 | 15.25                     |
| 26271 # | J P Morgan SP BV – Ping An European Warrants Dec 2016 A       | 200,000,000   | 2016/02/04   | 2016/12/30 | 16.00                     |
| 26227   | Goldman Sachs SP (Asia) – Agri Bk European Wts Jul 2016 B     | 100,000,000   | 2016/02/05   | 2016/07/05 | 15.00                     |
| 26225   | Goldman Sachs SP (Asia) – HSI European Warrants Jul 2016 E    | 150,000,000   | 2016/02/05   | 2016/07/28 | 24.30                     |
| 26226   | Goldman Sachs SP (Asia) – Ping An European Wts Jul 2016 D     | 100,000,000   | 2016/02/05   | 2016/07/28 | 33.80                     |
| 26229   | J P Morgan SP BV – BJ Ent Water European Warrants Sep 2016 A  | 60,000,000    | 2016/02/05   | 2016/09/01 | 30.06                     |

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|-------|---|---------------|--------------|------------|---------------------------|
|       |   | issue (units) | Listing date | Expiry     |                           |
| 26232 | J P Morgan SP BV – GAC European Warrants Nov 2017 A           | 100,000,000   | 2016/02/05   | 2017/11/30 | 17.60                     |
| 26230 | J P Morgan SP BV – Galaxy Ent European Put Wts Aug 2016 C     | 100,000,000   | 2016/02/05   | 2016/08/04 | 26.30                     |
| 26231 | J P Morgan SP BV – Sands China European Put Wts Aug 2016 C    | 100,000,000   | 2016/02/05   | 2016/08/04 | 38.60                     |
| 26222 | Macquarie Bank Ltd. – BOCHK European Warrants Feb 2017 A      | 40,000,000    | 2016/02/05   | 2017/02/02 | 10.00                     |
| 26213 | Macquarie Bank Ltd. – China Taiping European Wts Oct 2016 A   | 35,000,000    | 2016/02/05   | 2016/10/04 | 10.05                     |
| 26212 | Macquarie Bank Ltd. – Henderson Land Dev Euro Wts Nov 2016 A  | 24,000,000    | 2016/02/05   | 2016/11/02 | 10.22                     |
| 26224 | Macquarie Bank Ltd. – PetroChina European Wts Oct 2016 A      | 33,000,000    | 2016/02/05   | 2016/10/04 | 10.03                     |
| 26218 | UBS AG – HSBC European Put Warrants Aug 2016 A                | 60,000,000    | 2016/02/05   | 2016/08/29 | 10.62                     |
| 26235 | BOCI Asia Ltd. – Galaxy Ent European Warrants Oct 2016 A      | 100,000,000   | 2016/02/11   | 2016/10/31 | 26.70                     |
| 26236 | BOCI Asia Ltd. – Galaxy Ent European Put Warrants Aug 2016 A  | 100,000,000   | 2016/02/11   | 2016/08/03 | 17.40                     |
| 26237 | BOCI Asia Ltd. – Sands China European Warrants Aug 2016 B     | 100,000,000   | 2016/02/11   | 2016/08/31 | 22.80                     |
| 26238 | BOCI Asia Ltd. – Sands China European Put Wts Jul 2016 A      | 100,000,000   | 2016/02/11   | 2016/07/06 | 19.10                     |
| 26244 | Credit Suisse AG – HSBC European Wts Oct 2016 A               | 120,000,000   | 2016/02/11   | 2016/10/04 | 30.00                     |
| 26243 | Credit Suisse AG – Tencent Holdings European Wts Jun 2016 E   | 70,000,000    | 2016/02/11   | 2016/06/03 | 19.60                     |
| 26257 | Goldman Sachs SP (Asia) – CC Bank Euro Put Wts Aug 2016 B     | 80,000,000    | 2016/02/11   | 2016/08/30 | 23.44                     |
| 26254 | Goldman Sachs SP (Asia) – Galaxy Ent European Wts Jul 2016 A  | 80,000,000    | 2016/02/11   | 2016/07/04 | 12.32                     |
| 26256 | Goldman Sachs SP (Asia) – HSBC European Put Wts Jul 2016 D    | 60,000,000    | 2016/02/11   | 2016/07/28 | 10.68                     |
| 26255 | Goldman Sachs SP (Asia) – Kingsoft European Wts Aug 2016 A    | 80,000,000    | 2016/02/11   | 2016/08/31 | 20.08                     |
| 26251 | J P Morgan SP BV – China Life European Put Wts Dec 2016 A     | 100,000,000   | 2016/02/11   | 2016/12/01 | 25.10                     |
| 26253 | J P Morgan SP BV – CSOP A50 ETF European Warrants Oct 2017 A  | 200,000,000   | 2016/02/11   | 2017/10/31 | 30.20                     |
| 26242 | J P Morgan SP BV – Greatwall Motor European Wts Jul 2018 A    | 80,000,000    | 2016/02/11   | 2018/07/30 | 20.00                     |
| 26246 | Macquarie Bank Ltd. – Geely Auto European Wts Jul 2016 A      | 40,000,000    | 2016/02/11   | 2016/07/05 | 10.00                     |
| 26260 | Macquarie Bank Ltd. – Galaxy Ent European Wts Oct 2016 A      | 40,000,000    | 2016/02/11   | 2016/10/04 | 10.00                     |
| 26234 | Macquarie Bank Ltd. – Greatwall Motor European Wts Jan 2018 A | 40,000,000    | 2016/02/11   | 2018/01/03 | 10.00                     |
| 26240 | Macquarie Bank Ltd. – Ping An European Warrants Sep 2016 C    | 30,000,000    | 2016/02/11   | 2016/09/02 | 10.65                     |
| 26245 | Macquarie Bank Ltd. – Stanchart European Warrants Nov 2016 A  | 16,000,000    | 2016/02/11   | 2016/11/02 | 10.02                     |
| 26239 | Macquarie Bank Ltd. – Yueshi Property Euro Wts Jul 2017 A     | 40,000,000    | 2016/02/11   | 2017/07/17 | 10.00                     |
| 26248 | UBS AG – BOCL European Warrants Aug 2016 A                    | 60,000,000    | 2016/02/11   | 2016/08/10 | 15.00                     |
| 26247 | UBS AG – China Life European Warrants Aug 2016 C              | 100,000,000   | 2016/02/11   | 2016/08/15 | 25.00                     |
| 26250 | UBS AG – Ping An European Warrants Aug 2016 E                 | 100,000,000   | 2016/02/11   | 2016/08/10 | 45.00                     |
| 26269 | Credit Suisse AG – CKP European Warrants Aug 2016 A           | 70,000,000    | 2016/02/12   | 2016/08/31 | 19.60                     |
| 26272 | Credit Suisse AG – Greatwall Motor European Wts Dec 2017 A    | 100,000,000   | 2016/02/12   | 2017/12/29 | 25.00                     |
| 26265 | Credit Suisse AG – ICBC European Warrants Aug 2016 A          | 80,000,000    | 2016/02/12   | 2016/08/02 | 12.00                     |
| 26276 | Bank of East Asia – China Life European Warrants Sep 2016 A   | 40,000,000    | 2016/02/12   | 2016/09/19 | 10.00                     |
| 26281 | Goldman Sachs SP (Asia) – CRCC European Warrants Dec 2017 A   | 80,000,000    | 2016/02/12   | 2017/12/29 | 20.00                     |
| 26283 | J P Morgan SP BV – GCL-Poly European Warrants Dec 2016 A      | 60,000,000    | 2016/02/12   | 2016/12/30 | 15.00                     |
| 26261 | Macquarie Bank Ltd. – China EB Int'l European Wts Mar 2017 A  | 38,000,000    | 2016/02/12   | 2017/03/16 | 10.03                     |
| 26264 | Macquarie Bank Ltd. – China Cinda European Wts Nov 2016 A     | 40,000,000    | 2016/02/12   | 2016/11/02 | 10.00                     |
| 26263 | Macquarie Bank Ltd. – CM Bank European Warrants Jul 2017 A    | 40,000,000    | 2016/02/12   | 2017/07/04 | 10.00                     |
| 26273 | Macquarie Bank Ltd. – Hang Lung Ppt European Wts Feb 2018 A   | 40,000,000    | 2016/02/12   | 2018/02/02 | 10.00                     |
| 26262 | Macquarie Bank Ltd. – Haitong Sec European Wts Mar 2017 A     | 40,000,000    | 2016/02/12   | 2017/03/02 | 10.00                     |
| 26280 | UBS AG – CAM CSI300 European Warrants Aug 2016 A              | 50,000,000    | 2016/02/12   | 2016/08/11 | 15.50                     |
| 26277 | UBS AG – CC Bank European Warrants Aug 2016 A                 | 100,000,000   | 2016/02/12   | 2016/08/11 | 26.00                     |
| 26279 | UBS AG – ICBC European Warrants Aug 2016 A                    | 70,000,000    | 2016/02/12   | 2016/08/02 | 10.50                     |

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|-------|---|---------------|--------------|------------|---------------------------|
|       |   | issue (units) | Listing date | Expiry     |                           |
| 26289 | BOCI Asia Ltd. – CC Bank European Put Warrants Oct 2016 A     | 100,000,000   | 2016/02/15   | 2016/10/03 | 37.00                     |
| 26296 | BOCI Asia Ltd. – China Life European Put Warrants Dec 2016 A  | 100,000,000   | 2016/02/15   | 2016/12/05 | 25.00                     |
| 26291 | BOCI Asia Ltd. – China Mobile European Put Wts Aug 2016 B     | 100,000,000   | 2016/02/15   | 2016/08/01 | 43.00                     |
| 26297 | BOCI Asia Ltd. – A50 China European Warrants Dec 2017 B       | 100,000,000   | 2016/02/15   | 2017/12/04 | 25.00                     |
| 26284 | BOCI Asia Ltd. – HSBC European Warrants Sep 2016 A            | 100,000,000   | 2016/02/15   | 2016/09/05 | 26.00                     |
| 26292 | BOCI Asia Ltd. – ICBC European Warrants Oct 2016 A            | 100,000,000   | 2016/02/15   | 2016/10/04 | 22.00                     |
| 26295 | BOCI Asia Ltd. – ICBC European Put Warrants Oct 2016 B        | 100,000,000   | 2016/02/15   | 2016/10/11 | 34.00                     |
| 26304 | Credit Suisse AG – AIA European Warrants Jul 2016 C           | 80,000,000    | 2016/02/15   | 2016/07/29 | 16.00                     |
| 26307 | Credit Suisse AG – AIA European Warrants Sep 2016 A           | 80,000,000    | 2016/02/15   | 2016/09/05 | 30.40                     |
| 26303 | Credit Suisse AG – BOCL European Warrants Aug 2016 A          | 80,000,000    | 2016/02/15   | 2016/08/31 | 20.00                     |
| 26309 | Credit Suisse AG – CC Bank European Warrants Sep 2016 A       | 80,000,000    | 2016/02/15   | 2016/09/05 | 14.40                     |
| 26310 | Credit Suisse AG – Galaxy Ent European Warrants Jul 2016 B    | 80,000,000    | 2016/02/15   | 2016/07/04 | 14.40                     |
| 26323 | Credit Suisse AG – HSBC European Wts Sep 2016 B               | 120,000,000   | 2016/02/15   | 2016/09/05 | 30.00                     |
| 26313 | Credit Suisse AG – Ping An European Warrants Jul 2016 B       | 80,000,000    | 2016/02/15   | 2016/07/11 | 12.00                     |
| 26314 | Credit Suisse AG – Ping An European Warrants Aug 2016 F       | 80,000,000    | 2016/02/15   | 2016/08/31 | 28.80                     |
| 26331 | Goldman Sachs SP (Asia) – AIA European Warrants Jul 2016 B    | 100,000,000   | 2016/02/15   | 2016/07/25 | 32.80                     |
| 26329 | Goldman Sachs SP (Asia) – HSI European Warrants Sep 2016 D    | 150,000,000   | 2016/02/15   | 2016/09/29 | 26.70                     |
| 26327 | J P Morgan SP BV – AIA European Warrants Sep 2016 B           | 100,000,000   | 2016/02/15   | 2016/09/02 | 27.50                     |
| 26298 | J P Morgan SP BV – Galaxy Ent European Warrants Oct 2016 A    | 100,000,000   | 2016/02/15   | 2016/10/03 | 25.00                     |
| 26326 | J P Morgan SP BV – HKEX European Warrants Dec 2016 C          | 200,000,000   | 2016/02/15   | 2016/12/30 | 30.00                     |
| 26325 | J P Morgan SP BV – Stanchart European Warrants Nov 2016 A     | 40,000,000    | 2016/02/15   | 2016/11/02 | 15.20                     |
| 26299 | Macquarie Bank Ltd. – CC Bank European Warrants Mar 2017 A    | 28,000,000    | 2016/02/15   | 2017/03/02 | 10.36                     |
| 26300 | SGA Societe Generale Acceptance N.V. – CLife Eu Wt Sep 2016 C | 150,000,000   | 2016/02/15   | 2016/09/05 | 37.50                     |
| 26301 | SGA Societe Generale Acceptance N.V. – HKEX Eu Wt Dec 2016 B  | 200,000,000   | 2016/02/15   | 2016/12/05 | 50.00                     |
| 26302 | SGA Societe Generale Acceptance N.V. – Stanchart Eu Wt Oct16B | 22,000,000    | 2016/02/15   | 2016/10/05 | 10.23                     |
| 26317 | UBS AG – CNOOC European Warrants Jul 2017 A                   | 100,000,000   | 2016/02/15   | 2017/07/24 | 25.20                     |
| 26319 | UBS AG – HSI European Warrants Aug 2016 A                     | 300,000,000   | 2016/02/15   | 2016/08/30 | 46.80                     |
| 26320 | UBS AG – HSI European Put Warrants Aug 2016 B                 | 300,000,000   | 2016/02/15   | 2016/08/30 | 53.40                     |
| 26318 | UBS AG – Stanchart European Warrants Aug 2016 A               | 50,000,000    | 2016/02/15   | 2016/08/31 | 27.00                     |
| 26348 | BOCI Asia Ltd. – AIA European Warrants Oct 2016 A             | 100,000,000   | 2016/02/16   | 2016/10/03 | 40.00                     |
| 26349 | BOCI Asia Ltd. – AIA European Put Warrants Sep 2016 A         | 100,000,000   | 2016/02/16   | 2016/09/26 | 34.00                     |
| 26354 | BOCI Asia Ltd. – CAM CSI300 European Warrants Aug 2016 B      | 100,000,000   | 2016/02/16   | 2016/08/29 | 28.00                     |
| 26353 | BOCI Asia Ltd. – CSOP A50 ETF European Warrants Oct 2017 A    | 100,000,000   | 2016/02/16   | 2017/10/31 | 20.00                     |
| 26342 | Credit Suisse AG – China Life European Warrants Sep 2016 A    | 80,000,000    | 2016/02/16   | 2016/09/05 | 20.00                     |
| 26355 | Credit Suisse AG – CSOP A50 ETF European Warrants Aug 2016 D  | 30,000,000    | 2016/02/16   | 2016/08/31 | 29.10                     |
| 26338 | Credit Suisse AG – Galaxy Ent European Put Wts Aug 2016 B     | 60,000,000    | 2016/02/16   | 2016/08/03 | 11.40                     |
| 26343 | Credit Suisse AG – HS H-SHARE European Warrants Sep 2016 A    | 70,000,000    | 2016/02/16   | 2016/09/05 | 25.20                     |
| 26340 | Credit Suisse AG – Stanchart European Warrants Sep 2016 A     | 50,000,000    | 2016/02/16   | 2016/09/05 | 28.50                     |
| 26339 | Credit Suisse AG – Tencent Holdings European Wts Jul 2016 A   | 150,000,000   | 2016/02/16   | 2016/07/05 | 22.50                     |
| 26361 | Goldman Sachs SP (Asia) – Agri Bk European Wts Sep 2016 A     | 100,000,000   | 2016/02/16   | 2016/09/30 | 26.50                     |
| 26359 | Goldman Sachs SP (Asia) – AIA European Put Wts Aug 2016 A     | 60,000,000    | 2016/02/16   | 2016/08/30 | 18.72                     |
| 26358 | Goldman Sachs SP (Asia) – Stanchart European Wts Aug 2016 A   | 40,000,000    | 2016/02/16   | 2016/08/30 | 17.16                     |
| 26346 | J P Morgan SP BV – AIA European Put Warrants Nov 2016 A       | 100,000,000   | 2016/02/16   | 2016/11/02 | 25.30                     |
| 26336 | Macquarie Bank Ltd. – Anhui Conch European Wts Dec 2016 A     | 39,000,000    | 2016/02/16   | 2016/12/02 | 10.06                     |

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| Code    | Derivative warrants   | No. of        |              |            | Amount raised (HK\$ mil.) |
|---------|---|---------------|--------------|------------|---------------------------|
|         |   | issue (units) | Listing date | Expiry     |                           |
| 26334   | Macquarie Bank Ltd. – China Res Gas European Wts Dec 2016 A   | 21,000,000    | 2016/02/16   | 2016/12/02 | 10.08                     |
| 26332   | Macquarie Bank Ltd. – ICBC European Warrants Mar 2017 B       | 40,000,000    | 2016/02/16   | 2017/03/02 | 10.00                     |
| 26333   | Macquarie Bank Ltd. – ICBC European Put Warrants Dec 2016 A   | 30,000,000    | 2016/02/16   | 2016/12/05 | 10.83                     |
| 26377   | Goldman Sachs SP (Asia) – AIA European Warrants Jul 2016 C    | 100,000,000   | 2016/02/17   | 2016/07/25 | 19.10                     |
| 26379   | Goldman Sachs SP (Asia) – CNOOC European Warrants Jul 2018 A  | 100,000,000   | 2016/02/17   | 2018/07/31 | 16.70                     |
| 26362   | Goldman Sachs SP (Asia) – HSI European Put Wts Aug 2016 E     | 150,000,000   | 2016/02/17   | 2016/08/30 | 29.70                     |
| 26363   | Macquarie Bank Ltd. – AIA European Warrants Sep 2016 A        | 24,000,000    | 2016/02/17   | 2016/09/02 | 10.08                     |
| 26369   | Macquarie Bank Ltd. – CITIC European Warrants Nov 2017 A      | 60,000,000    | 2016/02/17   | 2017/11/02 | 10.62                     |
| 26365   | Macquarie Bank Ltd. – China Life European Wts Oct 2016 B      | 37,000,000    | 2016/02/17   | 2016/10/04 | 10.03                     |
| 26366   | Macquarie Bank Ltd. – Ping An European Put Warrants Oct16B    | 40,000,000    | 2016/02/17   | 2016/10/04 | 10.00                     |
| 26374   | UBS AG – CKP European Warrants Dec 2016 A                     | 50,000,000    | 2016/02/17   | 2016/12/29 | 28.50                     |
| 26372   | UBS AG – China Overseas European Warrants Dec 2016 A          | 50,000,000    | 2016/02/17   | 2016/12/12 | 19.00                     |
| 26371   | UBS AG – SHK Ppt European Warrants Oct 2017 A                 | 70,000,000    | 2016/02/17   | 2017/10/20 | 10.50                     |
| 26370   | UBS AG – SPDR Gold Trust European Warrants Dec 2016 A         | 50,000,000    | 2016/02/17   | 2016/12/12 | 12.50                     |
| 19904 # | BOCI Asia Ltd. – Tencent Holdings European Wts Dec 2016 A     | 100,000,000   | 2016/02/17   | 2016/12/19 | 11.50                     |
| 26381   | BOCI Asia Ltd. – HSCEI European Warrants Sep 2016 A           | 100,000,000   | 2016/02/18   | 2016/09/29 | 15.00                     |
| 26384   | BOCI Asia Ltd. – HSCEI European Put Warrants Oct 2016 B       | 100,000,000   | 2016/02/18   | 2016/10/28 | 20.00                     |
| 26382   | BOCI Asia Ltd. – HSCEI European Put Warrants Dec 2016 A       | 100,000,000   | 2016/02/18   | 2016/12/29 | 17.00                     |
| 26406   | BNP Paribas Arbit Issu B.V. – HSBC European Wts Oct 2016 A    | 50,000,000    | 2016/02/18   | 2016/10/04 | 12.50                     |
| 26408   | Credit Suisse AG – HSBC European Wts Sep 2016 C               | 120,000,000   | 2016/02/18   | 2016/09/05 | 45.60                     |
| 26409   | Credit Suisse AG – HSBC European Put Warrants Sep 2016 D      | 60,000,000    | 2016/02/18   | 2016/09/05 | 15.00                     |
| 26407   | Credit Suisse AG – Sands China European Warrants Sep 2016 A   | 80,000,000    | 2016/02/18   | 2016/09/05 | 20.80                     |
| 26413   | Goldman Sachs SP (Asia) – HSCEI European Warrants Aug 2016 C  | 150,000,000   | 2016/02/18   | 2016/08/30 | 24.60                     |
| 26389   | J P Morgan SP BV – China Life European Warrants Sep 2016 C    | 100,000,000   | 2016/02/18   | 2016/09/01 | 25.00                     |
| 26412   | J P Morgan SP BV – HS H-SHARE European Warrants Sep 2016 A    | 100,000,000   | 2016/02/18   | 2016/09/02 | 36.00                     |
| 26390   | J P Morgan SP BV – HSI European Warrants Oct 2016 C           | 300,000,000   | 2016/02/18   | 2016/10/28 | 75.30                     |
| 26411   | J P Morgan SP BV – Ping An European Warrants Sep 2016 C       | 100,000,000   | 2016/02/18   | 2016/09/01 | 26.00                     |
| 26388   | J P Morgan SP BV – Tencent European Warrants Oct 2016 B       | 200,000,000   | 2016/02/18   | 2016/10/03 | 50.00                     |
| 26400   | Macquarie Bank Ltd. – Ping An European Put Warrants Apr17B    | 40,000,000    | 2016/02/18   | 2017/04/04 | 10.00                     |
| 26405   | SGA Societe Generale Acceptance N.V. – CCCCL Eu Wt Jan 2017 A | 100,000,000   | 2016/02/18   | 2017/01/05 | 15.00                     |
| 26385   | SGA Societe Generale Acceptance N.V. – CLife Eu Wt Nov 2016 B | 150,000,000   | 2016/02/18   | 2016/11/03 | 37.50                     |
| 26387   | SGA Societe Generale Acceptance N.V. – HSBC Eu Wt Oct 2016 C  | 100,000,000   | 2016/02/18   | 2016/10/05 | 36.50                     |
| 26393   | SGA Societe Generale Acceptance N.V. – HSCEI Eu Wt Aug 2016 A | 150,000,000   | 2016/02/18   | 2016/08/30 | 22.50                     |
| 26395   | SGA Societe Generale Acceptance N.V. – HSCEI Eu Wt Sep 2016 D | 150,000,000   | 2016/02/18   | 2016/09/29 | 24.00                     |
| 26398   | SGA Societe Generale Acceptance N.V. – HSCEI Eu Put Wt Dec16B | 150,000,000   | 2016/02/18   | 2016/12/29 | 33.75                     |
| 26399   | SGA Societe Generale Acceptance N.V. – HSI Eu Put Wt Sep16E   | 150,000,000   | 2016/02/18   | 2016/09/29 | 29.25                     |
| 26402   | SGA Societe Generale Acceptance N.V. – PICC P&C Eu Wt Mar17A  | 60,000,000    | 2016/02/18   | 2017/03/03 | 15.00                     |
| 26401   | SGA Societe Generale Acceptance N.V. – PICC Eu Wts Nov 2016 A | 20,000,000    | 2016/02/18   | 2016/11/03 | 10.00                     |
| 26403   | SGA Societe Generale Acceptance N.V. – Tencent Eu Wt Feb17B   | 300,000,000   | 2016/02/18   | 2017/02/03 | 75.00                     |
| 26420   | BOCI Asia Ltd. – Agricultural Bk European Wts Oct 2016 A      | 100,000,000   | 2016/02/19   | 2016/10/11 | 26.00                     |
| 26417   | BOCI Asia Ltd. – CKP European Warrants Oct 2016 A             | 100,000,000   | 2016/02/19   | 2016/10/17 | 40.00                     |
| 26422   | BOCI Asia Ltd. – China Life European Warrants Aug 2016 C      | 100,000,000   | 2016/02/19   | 2016/08/22 | 18.00                     |
| 26421   | BOCI Asia Ltd. – Ping An European Warrants Aug 2016 B         | 100,000,000   | 2016/02/19   | 2016/08/15 | 32.00                     |
| 26416   | BOCI Asia Ltd. – Tencent Holdings European Wts Oct 2016 B     | 100,000,000   | 2016/02/19   | 2016/10/13 | 19.00                     |

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|       |  | issue (units) | Listing date | Expiry     |                           |
| 26425 | BNP Paribas Arbit Issu B.V. – China Life Euro Wts Dec 2016 B | 60,000,000    | 2016/02/19   | 2016/12/02 | 15.00                     |
| 26426 | BNP Paribas Arbit Issu B.V. – Ping An European Wt Sep 2016 B | 60,000,000    | 2016/02/19   | 2016/09/02 | 18.00                     |
| 26428 | BNP Paribas Arbit Issu B.V. – Zijin Mining Eu Wts Sep 2016 A | 35,000,000    | 2016/02/19   | 2016/09/02 | 11.20                     |
| 26443 | Credit Suisse AG – AIA European Put Warrants Sep 2016 B      | 60,000,000    | 2016/02/19   | 2016/09/05 | 15.00                     |
| 26441 | Credit Suisse AG – China Cinda European Warrants Oct 2016 A  | 35,000,000    | 2016/02/19   | 2016/10/05 | 10.50                     |
| 26444 | Credit Suisse AG – HSI European Put Warrants Sep 2016 C      | 150,000,000   | 2016/02/19   | 2016/09/29 | 33.00                     |
| 26440 | Credit Suisse AG – PICC European Warrants Jan 2017 A         | 60,000,000    | 2016/02/19   | 2017/01/27 | 15.00                     |
| 26424 | Bank of East Asia – CITIC European Warrants Nov 2017 A       | 60,000,000    | 2016/02/19   | 2017/11/07 | 10.20                     |
| 26473 | Bank of East Asia – CNBM European Warrants Oct 2016 A        | 32,000,000    | 2016/02/19   | 2016/10/04 | 10.56                     |
| 26470 | Bank of East Asia – Galaxy Ent European Warrants Dec 2016 A  | 40,000,000    | 2016/02/19   | 2016/12/23 | 10.00                     |
| 26423 | Bank of East Asia – Great Wall Motor European Wts Dec 2017 A | 70,000,000    | 2016/02/19   | 2017/12/29 | 11.20                     |
| 26456 | Goldman Sachs SP (Asia) – CKP European Warrants Sep 2016 A   | 80,000,000    | 2016/02/19   | 2016/09/30 | 31.68                     |
| 26452 | Goldman Sachs SP (Asia) – HSBC European Warrants Sep 2016 B  | 100,000,000   | 2016/02/19   | 2016/09/02 | 27.30                     |
| 26455 | Goldman Sachs SP (Asia) – HS H-SHARE European Wts Aug 2016 A | 80,000,000    | 2016/02/19   | 2016/08/29 | 40.16                     |
| 26453 | Goldman Sachs SP (Asia) – Sands China Euro Wts Aug 2016 B    | 80,000,000    | 2016/02/19   | 2016/08/29 | 20.16                     |
| 26468 | J P Morgan SP BV – Agricultural Bk Euro Warrants Dec 2016 A  | 100,000,000   | 2016/02/19   | 2016/12/30 | 25.10                     |
| 26459 | J P Morgan SP BV – BOCL European Warrants Sep 2016 A         | 100,000,000   | 2016/02/19   | 2016/09/05 | 25.30                     |
| 26458 | J P Morgan SP BV – CC Bank European Wts Nov 2016 A           | 100,000,000   | 2016/02/19   | 2016/11/01 | 25.50                     |
| 26457 | J P Morgan SP BV – HSBC European Warrants Sep 2016 D         | 100,000,000   | 2016/02/19   | 2016/09/30 | 28.80                     |
| 26462 | J P Morgan SP BV – HSCEI European Wts Sep 2016 B             | 200,000,000   | 2016/02/19   | 2016/09/29 | 31.60                     |
| 26463 | J P Morgan SP BV – HSCEI European Put Warrants Dec 2016 B    | 200,000,000   | 2016/02/19   | 2016/12/29 | 50.00                     |
| 26467 | J P Morgan SP BV – ICBC European Warrants Sep 2016 B         | 100,000,000   | 2016/02/19   | 2016/09/05 | 25.20                     |
| 10378 | J P Morgan SP BV – N225 Index Euro Wts Jan 2017 A            | 100,000,000   | 2016/02/19   | 2017/01/13 | 25.30                     |
| 10379 | J P Morgan SP BV – N225 Idx Euro Put Wts Feb 2017 A          | 100,000,000   | 2016/02/19   | 2017/02/10 | 25.20                     |
| 26469 | J P Morgan SP BV – SPDR Gold Trust European Wts Sep 2016 A   | 20,000,000    | 2016/02/19   | 2016/09/05 | 16.50                     |
| 26466 | J P Morgan SP BV – Tracker Fund European Warrants Feb 2017 A | 100,000,000   | 2016/02/19   | 2017/02/28 | 15.10                     |
| 26460 | J P Morgan SP BV – Zijin Mining European Warrants Nov 2016 A | 60,000,000    | 2016/02/19   | 2016/11/30 | 18.18                     |
| 26450 | Macquarie Bank Ltd. – China Mobile European Put Wts Oct 16 B | 40,000,000    | 2016/02/19   | 2016/10/04 | 10.00                     |
| 26474 | Macquarie Bank Ltd. – HSBC European Put Warrants Sep 2016 A  | 40,000,000    | 2016/02/19   | 2016/09/02 | 10.00                     |
| 26429 | SGA Societe Generale Acceptance N.V. – CITBK Eu Wt Dec16A    | 25,000,000    | 2016/02/19   | 2016/12/05 | 10.00                     |
| 26432 | SGA Societe Generale Acceptance N.V. – Ping An Eu Wt Dec16A  | 120,000,000   | 2016/02/19   | 2016/12/05 | 32.40                     |
| 26436 | UBS AG – AIA European Warrants Sep 2016 B                    | 100,000,000   | 2016/02/19   | 2016/09/19 | 39.00                     |
| 26437 | UBS AG – China Life European Warrants Sep 2016 A             | 100,000,000   | 2016/02/19   | 2016/09/19 | 25.00                     |
| 26438 | UBS AG – Minsheng Bank European Warrants Dec 2018 A          | 70,000,000    | 2016/02/19   | 2018/12/03 | 10.50                     |
| 26434 | UBS AG – HSBC European Warrants Sep 2016 C                   | 100,000,000   | 2016/02/19   | 2016/09/19 | 41.00                     |
| 10382 | BNP Paribas Arbit Issu B.V. – Gold European Wts Dec 2016 A   | 50,000,000    | 2016/02/22   | 2016/12/16 | 12.50                     |
| 10383 | BNP Paribas Arbit Issu B.V. – Gold European Put Wts Dec16B   | 50,000,000    | 2016/02/22   | 2016/12/16 | 12.50                     |
| 10380 | BNP Paribas Arbit Issu B.V. – USD/YEN Euro Wts Nov 2016 A    | 50,000,000    | 2016/02/22   | 2016/11/25 | 12.50                     |
| 10381 | BNP Paribas Arbit Issu B.V. – USD/YEN Eur Put Wts Nov 2016 B | 50,000,000    | 2016/02/22   | 2016/11/25 | 12.50                     |
| 26480 | Credit Suisse AG – China Life European Put Wts Sep 2016 B    | 60,000,000    | 2016/02/22   | 2016/09/05 | 15.00                     |
| 26484 | Goldman Sachs SP (Asia) – AIA European Warrants Aug 2016 B   | 80,000,000    | 2016/02/22   | 2016/08/30 | 33.92                     |
| 26483 | Goldman Sachs SP (Asia) – PetroChina European Put Wts Sep16A | 80,000,000    | 2016/02/22   | 2016/09/29 | 47.76                     |
| 26477 | HK Bank – BOCL European Warrants Sep 2016 B                  | 80,000,000    | 2016/02/22   | 2016/09/30 | 20.00                     |
| 26476 | HK Bank – CC Bank European Warrants Sep 2016 B               | 80,000,000    | 2016/02/22   | 2016/09/30 | 24.00                     |



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|-------|--|---------------|--------------|------------|---------------------------|
|       |  | issue (units) | Listing date | Expiry     |                           |
| 26475 | HK Bank – Ping An European Warrants Aug 2016 B                 | 80,000,000    | 2016/02/22   | 2016/08/31 | 20.00                     |
| 26481 | J P Morgan SP BV – Ch Overseas European Warrants Nov 2016 A    | 100,000,000   | 2016/02/22   | 2016/11/01 | 25.10                     |
| 26482 | Macquarie Bank Ltd. – Agricultural Bk Euro Warrants Sep 2016 A | 38,000,000    | 2016/02/22   | 2016/09/02 | 10.03                     |
| 26478 | Macquarie Bank Ltd. – Ping An European Warrants Jan 2017 B     | 40,000,000    | 2016/02/22   | 2017/01/04 | 10.00                     |
| 26479 | SGA Societe Generale Acceptance N.V. – CITIC Sec Eu Wt Jan17A  | 40,000,000    | 2016/02/22   | 2017/01/05 | 10.00                     |
| 10386 | UBS AG – Nikkei 225 European Warrants Sep 2016 A               | 100,000,000   | 2016/02/22   | 2016/09/09 | 25.00                     |
| 10387 | UBS AG – Nikkei 225 European Warrants Sep 2016 B               | 100,000,000   | 2016/02/22   | 2016/09/09 | 27.50                     |
| 10384 | UBS AG – Nikkei 225 European Warrants Dec 2016 C               | 100,000,000   | 2016/02/22   | 2016/12/09 | 25.00                     |
| 10385 | UBS AG – Nikkei 225 European Warrants Dec 2016 D               | 100,000,000   | 2016/02/22   | 2016/12/09 | 25.00                     |
| 10388 | UBS AG – Nikkei 225 European Put Warrants Dec 2016 E           | 100,000,000   | 2016/02/22   | 2016/12/09 | 25.00                     |
| 26492 | BNP Paribas Arbit Issu B.V. – HSCEI European Wts Sep 2016 B    | 100,000,000   | 2016/02/23   | 2016/09/29 | 17.00                     |
| 26494 | BNP Paribas Arbit Issu B.V. – HSCEI European Wts Dec 2016 A    | 100,000,000   | 2016/02/23   | 2016/12/29 | 16.00                     |
| 26508 | Credit Suisse AG – Agricultural Bank European Wts Sep 2016 A   | 60,000,000    | 2016/02/23   | 2016/09/05 | 15.00                     |
| 26507 | Credit Suisse AG – CITIC European Warrants Sep 2016 A          | 50,000,000    | 2016/02/23   | 2016/09/05 | 25.00                     |
| 26506 | Credit Suisse AG – HKEX European Warrants Nov 2016 C           | 180,000,000   | 2016/02/23   | 2016/11/07 | 27.00                     |
| 26513 | Goldman Sachs SP (Asia) – China Life Euro Wts Aug 2016 B       | 80,000,000    | 2016/02/23   | 2016/08/02 | 12.08                     |
| 26514 | Goldman Sachs SP (Asia) – CM Bank European Wts May 2017 A      | 80,000,000    | 2016/02/23   | 2017/05/31 | 20.32                     |
| 26512 | Goldman Sachs SP (Asia) – CSOP A50 ETF Euro Wts Sep 2018 A     | 80,000,000    | 2016/02/23   | 2018/09/26 | 13.76                     |
| 26516 | Goldman Sachs SP (Asia) – HSCEI European Warrants Dec 2016 C   | 150,000,000   | 2016/02/23   | 2016/12/29 | 23.10                     |
| 26489 | HK Bank – HSCEI European Warrants Sep 2016 B                   | 180,000,000   | 2016/02/23   | 2016/09/29 | 27.00                     |
| 26490 | HK Bank – HSCEI European Warrants Dec 2016 B                   | 180,000,000   | 2016/02/23   | 2016/12/29 | 27.00                     |
| 26487 | HK Bank – HSI European Warrants Jul 2016 E                     | 180,000,000   | 2016/02/23   | 2016/07/28 | 27.00                     |
| 26488 | HK Bank – HSI European Warrants Sep 2016 E                     | 180,000,000   | 2016/02/23   | 2016/09/29 | 27.00                     |
| 26491 | HK Bank – HSI European Put Warrants Aug 2016 D                 | 180,000,000   | 2016/02/23   | 2016/08/30 | 45.00                     |
| 26485 | HK Bank – HSI European Put Warrants Sep 2016 D                 | 180,000,000   | 2016/02/23   | 2016/09/29 | 32.40                     |
| 26501 | Macquarie Bank Ltd. – China Agri European Wts Mar 2017 A       | 20,000,000    | 2016/02/23   | 2017/03/02 | 10.00                     |
| 26495 | Macquarie Bank Ltd. – CGN Power European Warrants Dec 2016 A   | 24,000,000    | 2016/02/23   | 2016/12/02 | 10.20                     |
| 26499 | Macquarie Bank Ltd. – Ch LongYuan European Wts May 2017 A      | 9,500,000     | 2016/02/23   | 2017/05/16 | 10.01                     |
| 26496 | Macquarie Bank Ltd. – Lenovo European Warrants Sep 2016 A      | 18,000,000    | 2016/02/23   | 2016/09/02 | 10.01                     |
| 26503 | SGA Societe Generale Acceptance N.V. – COVS Eu Wts Nov 2016 A  | 40,000,000    | 2016/02/23   | 2016/11/03 | 10.60                     |
| 26505 | SGA Societe Generale Acceptance N.V. – Ch Vanke Eu Wts Dec16A  | 40,000,000    | 2016/02/23   | 2016/12/05 | 10.60                     |
| 26510 | UBS AG – CNOOC European Warrants Sep 2016 B                    | 50,000,000    | 2016/02/23   | 2016/09/26 | 32.50                     |
| 26511 | UBS AG – HSI European Put Warrants Sep 2016 J                  | 300,000,000   | 2016/02/23   | 2016/09/29 | 75.00                     |
| 26509 | UBS AG – PetroChina European Warrants Sep 2016 A               | 50,000,000    | 2016/02/23   | 2016/09/26 | 20.00                     |
| 26524 | BNP Paribas Arbit Issu B.V. – China Overseas Eu Wt Oct 2016A   | 40,000,000    | 2016/02/24   | 2016/10/04 | 10.80                     |
| 26521 | BNP Paribas Arbit Issu B.V. – HSBC European Wts Sep 2016 C     | 60,000,000    | 2016/02/24   | 2016/09/02 | 10.20                     |
| 26518 | HK Bank – China Life European Warrants Aug 2016 A              | 80,000,000    | 2016/02/24   | 2016/08/01 | 12.00                     |
| 26517 | HK Bank – Stanchart European Warrants Aug 2016 A               | 40,000,000    | 2016/02/24   | 2016/08/31 | 18.00                     |
| 26526 | J P Morgan SP BV – CGN Power European Warrants Oct 2016 A      | 60,000,000    | 2016/02/24   | 2016/10/14 | 22.74                     |
| 26519 | Macquarie Bank Ltd. – Tencent European Warrants Sep 2016 A     | 25,000,000    | 2016/02/24   | 2016/09/02 | 10.03                     |
| 26525 | SGA Societe Generale Acceptance N.V. – HKEX Eu Wt Dec 2016 C   | 200,000,000   | 2016/02/24   | 2016/12/05 | 33.00                     |
| 26532 | Goldman Sachs SP (Asia) – HSI European Put Wts Aug 2016 F      | 150,000,000   | 2016/02/25   | 2016/08/30 | 23.85                     |
| 26539 | J P Morgan SP BV – Sinopec Corp Eu Put Wt Oct 2016 B           | 100,000,000   | 2016/02/25   | 2016/10/03 | 33.70                     |
| 26538 | J P Morgan SP BV – Galaxy Ent European Put Wts Oct 2016 B      | 100,000,000   | 2016/02/25   | 2016/10/03 | 35.20                     |

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| Code    | Derivative warrants   | No. of        |              |            | Amount raised (HK\$ mil.) |
|---------|---|---------------|--------------|------------|---------------------------|
|         |   | issue (units) | Listing date | Expiry     |                           |
| 26540   | J P Morgan SP BV – HSI European Put Warrants Sep 2016 C         | 300,000,000   | 2016/02/25   | 2016/09/29 | 46.80                     |
| 26531   | Macquarie Bank Ltd. – Galaxy Ent European Wts Jul 2016 B        | 67,000,000    | 2016/02/25   | 2016/07/05 | 10.05                     |
| 26530   | Macquarie Bank Ltd. – Sands China European Wts Jul 2016 A       | 60,000,000    | 2016/02/25   | 2016/07/05 | 10.02                     |
| 26527   | Macquarie Bank Ltd. – SHK Ppt European Warrants Sep 2016 A      | 23,000,000    | 2016/02/25   | 2016/09/02 | 10.14                     |
| 10389   | SGA Societe Generale Acceptance NV – Nikkei 225 Eu Wt Dec16C    | 150,000,000   | 2016/02/25   | 2016/12/09 | 37.50                     |
| 10390   | SGA Societe Generale Acceptance NV – N225 Eu Put Wt Dec 2016 D  | 150,000,000   | 2016/02/25   | 2016/12/09 | 37.50                     |
| 26541   | J P Morgan SP BV – MGM China European Warrants Oct 2017 A       | 100,000,000   | 2016/02/26   | 2017/10/03 | 25.00                     |
| 26544   | Macquarie Bank Ltd. – Ali Pictures European Warrants May17 A    | 11,000,000    | 2016/02/26   | 2017/05/04 | 10.16                     |
| 26545   | Macquarie Bank Ltd. – ICBC European Put Warrants Mar 2017 C     | 40,000,000    | 2016/02/26   | 2017/03/02 | 10.00                     |
| 26542   | Macquarie Bank Ltd. – Tencent European Warrants Sep 2016 B      | 12,000,000    | 2016/02/26   | 2016/09/02 | 10.03                     |
| 26548   | SGA Societe Generale Acceptance N.V. – HKEX Eu Wt Jun 2016 E    | 200,000,000   | 2016/02/26   | 2016/06/03 | 30.00                     |
| 26546   | UBS AG – Geely Auto European Warrants Oct 2016 A                | 40,000,000    | 2016/02/26   | 2016/10/24 | 17.80                     |
| 26547   | UBS AG – Galaxy Ent European Warrants Sep 2016 A                | 70,000,000    | 2016/02/26   | 2016/09/30 | 21.70                     |
| 26555   | Goldman Sachs SP (Asia) – A50 China European Wts Aug 2016 D     | 60,000,000    | 2016/02/29   | 2016/08/31 | 22.50                     |
| 26554   | J P Morgan SP BV – HSBC European Put Warrants Oct 2016 B        | 100,000,000   | 2016/02/29   | 2016/10/03 | 25.20                     |
| 26549   | Macquarie Bank Ltd. – Shenzhen Int'l European Wts Mar 2017 A    | 40,000,000    | 2016/02/29   | 2017/03/02 | 10.00                     |
| 26550   | SGA Societe Generale Acceptance N.V. – HSBC Eu Wt Oct 2016 D    | 100,000,000   | 2016/02/29   | 2016/10/05 | 42.00                     |
| 26553   | SGA Societe Generale Acceptance N.V. – HSBC Eu Wt Dec 2016 A    | 100,000,000   | 2016/02/29   | 2016/12/05 | 25.00                     |
| 26566   | BOCI Asia Ltd. – HSBC European Warrants Sep 2016 B              | 100,000,000   | 2016/03/01   | 2016/09/09 | 28.00                     |
| 26567   | BOCI Asia Ltd. – HSBC European Put Warrants Sep 2016 C          | 100,000,000   | 2016/03/01   | 2016/09/02 | 32.00                     |
| 26575   | Credit Suisse AG – ChiUnicom European Warrants Dec 2016 B       | 100,000,000   | 2016/03/01   | 2016/12/12 | 15.00                     |
| 26576   | Credit Suisse AG – Galaxy Ent European Warrants Sep 2016 A      | 80,000,000    | 2016/03/01   | 2016/09/05 | 20.00                     |
| 26582   | Goldman Sachs SP (Asia) – CHALCO European Wts Sep 2016 A        | 22,000,000    | 2016/03/01   | 2016/09/01 | 10.38                     |
| 26580   | Goldman Sachs SP (Asia) – GCL-Poly Energy Euro Wts Sep16A       | 40,000,000    | 2016/03/01   | 2016/09/30 | 10.00                     |
| 26556   | HK Bank – Galaxy Ent European Warrants Oct 2016 B               | 50,000,000    | 2016/03/01   | 2016/10/31 | 12.50                     |
| 26561   | HK Bank – HKEX European Warrants Dec 2016 B                     | 100,000,000   | 2016/03/01   | 2016/12/28 | 16.00                     |
| 26562   | HK Bank – HKEX European Warrants May 2017 A                     | 100,000,000   | 2016/03/01   | 2017/05/31 | 15.00                     |
| 26558   | HK Bank – HKEX European Put Warrants Oct 2016 B                 | 100,000,000   | 2016/03/01   | 2016/10/31 | 15.00                     |
| 26559   | HK Bank – HSI European Warrants Aug 2016 E                      | 180,000,000   | 2016/03/01   | 2016/08/30 | 27.00                     |
| 26573   | Macquarie Bank Ltd. – AIA European Put Warrants Oct 2016 A      | 26,000,000    | 2016/03/01   | 2016/10/04 | 10.19                     |
| 26574   | Macquarie Bank Ltd. – Tencent European Put Wts Sep 2016 C       | 12,000,000    | 2016/03/01   | 2016/09/08 | 10.02                     |
| 26579   | SGA Societe Generale Acceptance N.V. – AIA Eur Wt Aug 2016 B    | 100,000,000   | 2016/03/01   | 2016/08/03 | 20.00                     |
| 26578   | SGA Societe Generale Acceptance N.V. – CMB Eu Wts Jun 2017 A    | 100,000,000   | 2016/03/01   | 2017/06/05 | 25.00                     |
| 26569   | SGA Societe Generale Acceptance N.V. – Galaxy Ent Eu Wt Sep16B  | 80,000,000    | 2016/03/01   | 2016/09/05 | 20.00                     |
| 26577   | SGA Societe Generale Acceptance N.V. – Petch Eu Wt Sep 2016B    | 60,000,000    | 2016/03/01   | 2016/09/05 | 16.80                     |
| 26570   | SGA Societe Generale Acceptance N.V. – Ping An Eu Wt Aug16B     | 120,000,000   | 2016/03/01   | 2016/08/03 | 25.80                     |
| 26572   | SGA Societe Generale Acceptance N.V. – Sands China Eu Wt Oct16A | 80,000,000    | 2016/03/01   | 2016/10/05 | 20.00                     |
| 19905 # | BOCI Asia Ltd. – Tencent Holdings European Wts Jun 2016 A       | 100,000,000   | 2016/03/01   | 2016/06/27 | 11.40                     |
| 26592   | Credit Suisse AG – HSBC European Wts Oct 2016 B                 | 120,000,000   | 2016/03/02   | 2016/10/05 | 30.00                     |
| 26596   | J P Morgan SP BV – AIA European Warrants Oct 2016 A             | 100,000,000   | 2016/03/02   | 2016/10/03 | 25.10                     |
| 26590   | J P Morgan SP BV – HSBC European Warrants Nov 2016 A            | 100,000,000   | 2016/03/02   | 2016/11/03 | 25.10                     |
| 26595   | J P Morgan SP BV – HSBC European Warrants Nov 2016 B            | 100,000,000   | 2016/03/02   | 2016/11/04 | 34.40                     |
| 26594   | Macquarie Bank Ltd. – China Vanke European Warrants Apr17A      | 30,000,000    | 2016/03/02   | 2017/04/04 | 10.56                     |
| 26583   | SGA Societe Generale Acceptance N.V. – HSI Eur Wt Jul 2016 D    | 150,000,000   | 2016/03/02   | 2016/07/28 | 22.50                     |

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|         |  | issue (units) | Listing date | Expiry     |                           |
| 26585   | SGA Societe Generale Acceptance N.V. – HSI Eur Wt Aug 2016 D   | 150,000,000   | 2016/03/02   | 2016/08/30 | 24.75                     |
| 26589   | SGA Societe Generale Acceptance N.V. – HSI Eur Wt Sep 2016 F   | 150,000,000   | 2016/03/02   | 2016/09/29 | 22.50                     |
| 26591   | UBS AG – HSBC European Warrants Nov 2016 A                     | 100,000,000   | 2016/03/02   | 2016/11/14 | 25.00                     |
| 26598   | BOCI Asia Ltd. – Tencent Holdings European Wts Dec 2016 D      | 200,000,000   | 2016/03/03   | 2016/12/09 | 30.00                     |
| 26614   | Credit Suisse AG – CKI Holdings European Warrants Sep 2016 A   | 30,000,000    | 2016/03/03   | 2016/09/30 | 10.50                     |
| 26611   | Credit Suisse AG – Geely Auto European Warrants Sep 2016 A     | 35,000,000    | 2016/03/03   | 2016/09/05 | 10.50                     |
| 26612   | Credit Suisse AG – HSBC European Wts Oct 2016 C                | 120,000,000   | 2016/03/03   | 2016/10/05 | 40.80                     |
| 26613   | Credit Suisse AG – Stanchart European Warrants Sep 2016 B      | 30,000,000    | 2016/03/03   | 2016/09/05 | 19.50                     |
| 26617   | Goldman Sachs SP (Asia) – HSBC European Warrants Sep 2016 C    | 120,000,000   | 2016/03/03   | 2016/09/30 | 18.00                     |
| 26599   | HK Bank – Agricultural Bank European Warrants Aug 2016 B       | 80,000,000    | 2016/03/03   | 2016/08/31 | 14.40                     |
| 26604   | HK Bank – China Shenhua European Warrants Jan 2017 A           | 80,000,000    | 2016/03/03   | 2017/01/27 | 12.00                     |
| 26605   | HK Bank – Geely Auto European Warrants Sep 2016 A              | 50,000,000    | 2016/03/03   | 2016/09/30 | 15.00                     |
| 26602   | HK Bank – SHK Ppt European Warrants Oct 2017 A                 | 100,000,000   | 2016/03/03   | 2017/10/31 | 15.00                     |
| 26601   | HK Bank – Zijin Mining European Warrants Sep 2016 A            | 50,000,000    | 2016/03/03   | 2016/09/30 | 14.00                     |
| 26615   | J P Morgan SP BV – CAM CSI300 European Warrants Nov 2016 A     | 100,000,000   | 2016/03/03   | 2016/11/01 | 25.70                     |
| 26616   | J P Morgan SP BV – Stanchart European Warrants Oct 2016 A      | 100,000,000   | 2016/03/03   | 2016/10/04 | 34.80                     |
| 26608   | Macquarie Bank Ltd. – HSBC European Warrants Sep 2016 B        | 62,000,000    | 2016/03/03   | 2016/09/02 | 10.11                     |
| 26609   | SGA Societe Generale Acceptance N.V. – Galaxy Ent Eu Wt Nov16B | 80,000,000    | 2016/03/03   | 2016/11/03 | 23.60                     |
| 26606   | SGA Societe Generale Acceptance N.V. – HSBC Eu Wt Sep 2016 C   | 100,000,000   | 2016/03/03   | 2016/09/05 | 18.50                     |
| 26610   | SGA Societe Generale Acceptance N.V. – Tencent Eu Wt Sep16C    | 30,000,000    | 2016/03/03   | 2016/09/05 | 35.40                     |
| 26621   | HK Bank – HSI European Put Warrants Mar 2017 A                 | 180,000,000   | 2016/03/04   | 2017/03/30 | 45.00                     |
| 26628   | HK Bank – HSI European Put Warrants Jun 2017 A                 | 180,000,000   | 2016/03/04   | 2017/06/29 | 45.00                     |
| 26639   | J P Morgan SP BV – CKI Holdings European Warrants Sep 2016 A   | 40,000,000    | 2016/03/04   | 2016/09/06 | 12.40                     |
| 26620   | Macquarie Bank Ltd. – CNOOC European Warrants Sep 2016 C       | 18,000,000    | 2016/03/04   | 2016/09/05 | 10.19                     |
| 26631   | SGA Societe Generale Acceptance N.V. – Ch Mob Eu Wt Sep16A     | 80,000,000    | 2016/03/04   | 2016/09/05 | 21.60                     |
| 26634   | SGA Societe Generale Acceptance N.V. – Stanchart Eu Wt Oct 16C | 22,000,000    | 2016/03/04   | 2016/10/05 | 10.23                     |
| 26636   | SGA Societe Generale Acceptance N.V. – Tencent Eu Wt Dec16B    | 500,000,000   | 2016/03/04   | 2016/12/05 | 75.00                     |
| 26197 # | BOCI Asia Ltd. – China Life European Warrants Aug 2016 B       | 150,000,000   | 2016/03/04   | 2016/08/08 | 12.45                     |
| 26667   | BNP Paribas Arbit Issu B.V. – HSI European Wts Sep 2016 C      | 100,000,000   | 2016/03/07   | 2016/09/29 | 15.00                     |
| 26668   | BNP Paribas Arbit Issu B.V. – HSI Euro Put Wts Sep 2016 D      | 100,000,000   | 2016/03/07   | 2016/09/29 | 18.00                     |
| 26669   | Credit Suisse AG – ICBC European Warrants Sep 2016 B           | 70,000,000    | 2016/03/07   | 2016/09/06 | 17.50                     |
| 26650   | Goldman Sachs SP (Asia) – HKEX European Warrants Sep 2016 B    | 150,000,000   | 2016/03/07   | 2016/09/13 | 29.70                     |
| 26651   | Goldman Sachs SP (Asia) – HKEX European Warrants Sep 2016 C    | 150,000,000   | 2016/03/07   | 2016/09/30 | 25.35                     |
| 26670   | Goldman Sachs SP (Asia) – Stanchart European Wts Sep 2016 A    | 50,000,000    | 2016/03/07   | 2016/09/29 | 21.80                     |
| 26647   | Goldman Sachs SP (Asia) – Tencent European Wt Nov 2016 A       | 150,000,000   | 2016/03/07   | 2016/11/25 | 22.50                     |
| 26649   | Goldman Sachs SP (Asia) – Tencent European Wt Dec 2016 E       | 150,000,000   | 2016/03/07   | 2016/12/22 | 33.75                     |
| 26654   | HK Bank – CHALCO European Warrants Sep 2016 A                  | 50,000,000    | 2016/03/07   | 2016/09/30 | 17.50                     |
| 26653   | HK Bank – CITIC Bank European Warrants Sep 2016 A              | 50,000,000    | 2016/03/07   | 2016/09/30 | 15.00                     |
| 26657   | HK Bank – CSOP A50 ETF European Warrants Oct 2017 A            | 180,000,000   | 2016/03/07   | 2017/10/30 | 27.00                     |
| 26662   | HK Bank – Foxconn European Warrants Sep 2016 A                 | 50,000,000    | 2016/03/07   | 2016/09/30 | 12.50                     |
| 26661   | HK Bank – Fosun Intl European Warrants Aug 2016 A              | 80,000,000    | 2016/03/07   | 2016/08/24 | 12.00                     |
| 26659   | HK Bank – A50 China European Warrants Dec 2017 A               | 180,000,000   | 2016/03/07   | 2017/12/29 | 27.00                     |
| 26656   | HK Bank – HSI European Warrants Jun 2017 B                     | 180,000,000   | 2016/03/07   | 2017/06/29 | 45.00                     |
| 26641   | Haitong Int'l Sec – HKEX European Warrants Sep 2016 A          | 200,000,000   | 2016/03/07   | 2016/09/30 | 30.00                     |

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|         |   | issue (units) | Listing date | Expiry     |                           |
| 26643   | Haitong Int'l Sec – Haitong Sec European Warrants Sep 2016 A  | 80,000,000    | 2016/03/07   | 2016/09/30 | 12.00                     |
| 26683   | Goldman Sachs SP (Asia) – China Life Euro Wts Aug 2016 C      | 100,000,000   | 2016/03/08   | 2016/08/30 | 15.60                     |
| 26686   | Goldman Sachs SP (Asia) – China Life Euro Wts Sep 2016 A      | 100,000,000   | 2016/03/08   | 2016/09/01 | 19.50                     |
| 26671   | HK Bank – CGS European Warrants Nov 2017 A                    | 80,000,000    | 2016/03/08   | 2017/11/30 | 12.00                     |
| 26673   | HK Bank – CKH European Warrants Nov 2017 A                    | 100,000,000   | 2016/03/08   | 2017/11/30 | 15.00                     |
| 26674   | HK Bank – Minsheng Bank European Warrants Dec 2018 A          | 100,000,000   | 2016/03/08   | 2018/12/04 | 15.00                     |
| 26672   | HK Bank – ICBC European Warrants Sep 2016 B                   | 80,000,000    | 2016/03/08   | 2016/09/30 | 20.00                     |
| 26675   | HK Bank – ICBC European Warrants Sep 2016 C                   | 80,000,000    | 2016/03/08   | 2016/09/30 | 24.00                     |
| 26676   | J P Morgan SP BV – China Life European Warrants Nov 2016 A    | 100,000,000   | 2016/03/08   | 2016/11/01 | 25.00                     |
| 26682   | J P Morgan SP BV – Sands China European Warrants Oct 2016 A   | 100,000,000   | 2016/03/08   | 2016/10/03 | 25.00                     |
| 26681   | Macquarie Bank Ltd. – China Life European Wts Nov 2016 A      | 36,000,000    | 2016/03/08   | 2016/11/02 | 10.01                     |
| 26677   | SGA Societe Generale Acceptance N.V. – CLife Eu Wt Oct 2016 B | 150,000,000   | 2016/03/08   | 2016/10/05 | 37.50                     |
| 26678   | SGA Societe Generale Acceptance NV – Minsheng Bk Eu Wt Nov16B | 15,000,000    | 2016/03/08   | 2016/11/03 | 10.05                     |
| 26680   | SGA Societe Generale Acceptance N.V. – Kingsoft Eu Wt Oct16B  | 40,000,000    | 2016/03/08   | 2016/10/05 | 10.20                     |
| 26687   | BOCI Asia Ltd. – China Life European Warrants Oct 2016 A      | 200,000,000   | 2016/03/09   | 2016/10/31 | 34.00                     |
| 26693   | BNP Paribas Arbit Issu B.V. – AIA European Wts Sep 2016 B     | 40,000,000    | 2016/03/09   | 2016/09/02 | 12.40                     |
| 26688   | BNP Paribas Arbit Issu B.V. – HKEX European Wts Jan 2017 A    | 60,000,000    | 2016/03/09   | 2017/01/04 | 10.20                     |
| 26689   | BNP Paribas Arbit Issu B.V. – HKEX Euro Put Wts Nov 2016 A    | 60,000,000    | 2016/03/09   | 2016/11/02 | 10.20                     |
| 26702   | Credit Suisse AG – AIA European Warrants Oct 2016 A           | 80,000,000    | 2016/03/09   | 2016/10/05 | 20.00                     |
| 26700   | Credit Suisse AG – Galaxy Ent European Put Wts Jul 2016 C     | 60,000,000    | 2016/03/09   | 2016/07/05 | 11.40                     |
| 26709   | Goldman Sachs SP (Asia) – BOCL European Warrants Mar 2017 A   | 100,000,000   | 2016/03/09   | 2017/03/30 | 16.60                     |
| 26705   | J P Morgan SP BV – CC Bank Euro Put Wts Oct 2016 B            | 100,000,000   | 2016/03/09   | 2016/10/03 | 27.70                     |
| 26703   | J P Morgan SP BV – HSI European Put Warrants Sep 2016 D       | 300,000,000   | 2016/03/09   | 2016/09/29 | 75.30                     |
| 26696   | Macquarie Bank Ltd. – Kingsoft European Warrants Oct 2016 A   | 40,000,000    | 2016/03/09   | 2016/10/04 | 10.00                     |
| 26698   | SGA Societe Generale Acceptance N.V. – CLife Eu Wt Sep 2016 D | 150,000,000   | 2016/03/09   | 2016/09/05 | 22.50                     |
| 26707   | UBS AG – China Life European Warrants Dec 2016 A              | 100,000,000   | 2016/03/09   | 2016/12/30 | 25.00                     |
| 26706   | UBS AG – Galaxy Ent European Put Warrants Oct 2016 A          | 60,000,000    | 2016/03/09   | 2016/10/24 | 25.50                     |
| 26704   | UBS AG – HSI European Put Warrants Jul 2016 B                 | 300,000,000   | 2016/03/09   | 2016/07/28 | 75.00                     |
| 26712   | Goldman Sachs SP (Asia) – HSI European Put Wts Jul 2016 F     | 200,000,000   | 2016/03/10   | 2016/07/28 | 39.80                     |
| 26713   | J P Morgan SP BV – Yanzhou Coal European Warrants Sep 2017 A  | 100,000,000   | 2016/03/10   | 2017/09/01 | 15.10                     |
| 26711   | Macquarie Bank Ltd. – CKP European Warrants Oct 2016 A        | 30,000,000    | 2016/03/10   | 2016/10/04 | 10.05                     |
| 26710   | Macquarie Bank Ltd. – ICBC European Warrants Jun 2017 A       | 40,000,000    | 2016/03/10   | 2017/06/02 | 10.00                     |
| 24797 # | BOCI Asia Ltd. – Tencent Holdings European Wts Jul 2016 C     | 150,000,000   | 2016/03/10   | 2016/07/11 | 15.15                     |
| 26744   | Credit Suisse AG – HKEX European Warrants Jun 2017 B          | 180,000,000   | 2016/03/11   | 2017/06/05 | 27.00                     |
| 26734   | HK Bank – China Life European Warrants Sep 2016 A             | 100,000,000   | 2016/03/11   | 2016/09/30 | 25.00                     |
| 26733   | HK Bank – China Life European Warrants Dec 2016 A             | 100,000,000   | 2016/03/11   | 2016/12/30 | 25.00                     |
| 26723   | HK Bank – CSOP A50 ETF European Warrants Dec 2016 C           | 180,000,000   | 2016/03/11   | 2016/12/02 | 27.00                     |
| 26736   | HK Bank – HSCEI European Warrants Sep 2016 D                  | 180,000,000   | 2016/03/11   | 2016/09/29 | 45.00                     |
| 26735   | HK Bank – HSCEI European Warrants Jun 2017 A                  | 180,000,000   | 2016/03/11   | 2017/06/29 | 45.00                     |
| 26716   | HK Bank – HSCEI European Put Warrants Sep 2016 C              | 180,000,000   | 2016/03/11   | 2016/09/29 | 45.00                     |
| 26717   | HK Bank – HSI European Put Warrants Sep 2016 F                | 180,000,000   | 2016/03/11   | 2016/09/29 | 32.40                     |
| 26719   | HK Bank – PetroChina European Warrants Sep 2016 B             | 80,000,000    | 2016/03/11   | 2016/09/30 | 28.00                     |
| 26718   | HK Bank – Ping An European Warrants Sep 2016 C                | 80,000,000    | 2016/03/11   | 2016/09/30 | 24.00                     |
| 26720   | HK Bank – Sands China European Warrants Sep 2016 A            | 80,000,000    | 2016/03/11   | 2016/09/30 | 20.00                     |

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|         |  | issue (units) | Listing date | Expiry     |                           |
| 26755   | J P Morgan SP BV – Techtronic European Warrants Nov 2016 A     | 40,000,000    | 2016/03/11   | 2016/11/01 | 15.76                     |
| 26737   | Macquarie Bank Ltd. – CKI Holdings European Warrants Dec16 A   | 22,000,000    | 2016/03/11   | 2016/12/02 | 10.05                     |
| 26739   | Macquarie Bank Ltd. – China Life European Wts Dec 2016 B       | 40,000,000    | 2016/03/11   | 2016/12/02 | 10.00                     |
| 26745   | Macquarie Bank Ltd. – Samsonite European Warrants Oct 2016 A   | 40,000,000    | 2016/03/11   | 2016/10/04 | 10.00                     |
| 26728   | SGA Societe Generale Acceptance N.V. – Galaxy Eu Put Wt Oct16A | 80,000,000    | 2016/03/11   | 2016/10/05 | 21.20                     |
| 26747   | SGA Societe Generale Acceptance N.V. – HSI Eur Wt Aug 2016 E   | 150,000,000   | 2016/03/11   | 2016/08/30 | 22.50                     |
| 26748   | SGA Societe Generale Acceptance N.V. – HSI Eur Wt Sep 2016 G   | 150,000,000   | 2016/03/11   | 2016/09/29 | 22.50                     |
| 26753   | SGA Societe Generale Acceptance N.V. – HSI Eur Wt Sep 2016 H   | 150,000,000   | 2016/03/11   | 2016/09/29 | 22.50                     |
| 26754   | SGA Societe Generale Acceptance N.V. – HSI Eur Wt Dec 2016 C   | 150,000,000   | 2016/03/11   | 2016/12/29 | 22.50                     |
| 26730   | SGA Societe Generale Acceptance NV – Sands Ch Eu Put Wt Oct16B | 80,000,000    | 2016/03/11   | 2016/10/05 | 20.40                     |
| 26742   | UBS AG – Ping An European Warrants Aug 2016 F                  | 100,000,000   | 2016/03/11   | 2016/08/08 | 18.20                     |
| 26743   | UBS AG – Stanchart European Warrants Oct 2016 A                | 50,000,000    | 2016/03/11   | 2016/10/11 | 23.75                     |
| 26757   | BNP Paribas Arbit Issu B.V. – CAM CSI300 Euro Wts Oct 2016 A   | 60,000,000    | 2016/03/14   | 2016/10/04 | 15.00                     |
| 26758   | BNP Paribas Arbit Issu B.V. – HS H-SHARE Euro Wts Oct 2016 A   | 40,000,000    | 2016/03/14   | 2016/10/04 | 17.60                     |
| 26773   | Goldman Sachs SP (Asia) – HKEX European Warrants May 2017 B    | 250,000,000   | 2016/03/14   | 2017/05/29 | 37.50                     |
| 26756   | Goldman Sachs SP (Asia) – HSI European Warrants Sep 2016 E     | 200,000,000   | 2016/03/14   | 2016/09/29 | 33.60                     |
| 26763   | Goldman Sachs SP (Asia) – Ping An European Wts Aug 2016 F      | 100,000,000   | 2016/03/14   | 2016/08/08 | 17.50                     |
| 26764   | J P Morgan SP BV – HSI European Put Warrants Jun 2016 G        | 300,000,000   | 2016/03/14   | 2016/06/29 | 45.00                     |
| 26767   | J P Morgan SP BV – Samsonite European Warrants Sep 2016 A      | 60,000,000    | 2016/03/14   | 2016/09/15 | 15.00                     |
| 26761   | Macquarie Bank Ltd. – Ali Health European Warrants May 2017A   | 40,000,000    | 2016/03/14   | 2017/05/04 | 10.00                     |
| 26759   | Macquarie Bank Ltd. – Geely Auto European Wts Oct 2016 A       | 30,000,000    | 2016/03/14   | 2016/10/04 | 10.02                     |
| 26762   | Macquarie Bank Ltd. – Greatwall Motor European Wts Sep 2017 A  | 40,000,000    | 2016/03/14   | 2017/09/04 | 10.00                     |
| 24721 # | Credit Suisse AG – Tencent Holdings European Wts Sep 2016 A    | 150,000,000   | 2016/03/14   | 2016/09/30 | 10.95                     |
| 26784   | BOCI Asia Ltd. – CNOOC European Warrants Oct 2016 A            | 100,000,000   | 2016/03/15   | 2016/10/03 | 61.00                     |
| 26785   | BOCI Asia Ltd. – Sinopec Corp European Warrants Oct 2016 A     | 100,000,000   | 2016/03/15   | 2016/10/11 | 44.20                     |
| 26781   | BOCI Asia Ltd. – Tencent Holdings European Wts Jan 2017 A      | 200,000,000   | 2016/03/15   | 2017/01/04 | 31.80                     |
| 26797   | BNP Paribas Arbit Issu B.V. – CKI Holdings Euro Wts Oct16A     | 32,000,000    | 2016/03/15   | 2016/10/04 | 10.24                     |
| 26795   | BNP Paribas Arbit Issu B.V. – Ping An European Wt Aug 2016 C   | 60,000,000    | 2016/03/15   | 2016/08/02 | 14.40                     |
| 26780   | Haitong Int'l Sec – Ch Comm Cons European Warrants Oct 2017A   | 80,000,000    | 2016/03/15   | 2017/10/30 | 14.40                     |
| 26779   | Haitong Int'l Sec – China Mobile European Warrants Jul 2016 A  | 80,000,000    | 2016/03/15   | 2016/07/04 | 12.88                     |
| 26778   | Haitong Int'l Sec – CNOOC European Warrants May 2018 A         | 80,000,000    | 2016/03/15   | 2018/05/28 | 12.00                     |
| 26774   | Haitong Int'l Sec – HSBC European Warrants Aug 2016 A          | 100,000,000   | 2016/03/15   | 2016/08/30 | 17.10                     |
| 26775   | Haitong Int'l Sec – Tencent European Warrants Dec 2016 A       | 100,000,000   | 2016/03/15   | 2016/12/30 | 15.00                     |
| 26788   | J P Morgan SP BV – HSI European Warrants Sep 2016 E            | 300,000,000   | 2016/03/15   | 2016/09/29 | 45.00                     |
| 26787   | J P Morgan SP BV – Tencent European Warrants Nov 2016 A        | 200,000,000   | 2016/03/15   | 2016/11/30 | 30.20                     |
| 26789   | Macquarie Bank Ltd. – BYD European Warrants Nov 2016 A         | 11,000,000    | 2016/03/15   | 2016/11/02 | 10.01                     |
| 26790   | Macquarie Bank Ltd. – CC Bank European Warrants Oct 2016 A     | 22,000,000    | 2016/03/15   | 2016/10/04 | 10.01                     |
| 26800   | Macquarie Bank Ltd. – Cathay Pacific European Wts Oct 2017 A   | 40,000,000    | 2016/03/15   | 2017/10/04 | 10.00                     |
| 26806   | Goldman Sachs SP (Asia) – Agri Bk European Wts Sep 2016 B      | 100,000,000   | 2016/03/16   | 2016/09/02 | 15.20                     |
| 26805   | Goldman Sachs SP (Asia) – Chi Res Land Euro Wts Sep 2016 A     | 50,000,000    | 2016/03/16   | 2016/09/01 | 10.75                     |
| 26807   | Goldman Sachs SP (Asia) – NCI European Warrants Sep 2016 B     | 40,000,000    | 2016/03/16   | 2016/09/30 | 13.44                     |
| 26808   | J P Morgan SP BV – CITIC European Warrants Dec 2017 A          | 100,000,000   | 2016/03/16   | 2017/12/29 | 15.20                     |
| 26801   | SGA Societe Generale Acceptance NV – Chi Res Land Eu Wt Nov16A | 35,000,000    | 2016/03/16   | 2016/11/03 | 10.50                     |
| 26802   | SGA Societe Generale Acceptance N.V. – A50 Ch Eu Wt Oct 2016 B | 20,000,000    | 2016/03/16   | 2016/10/05 | 11.60                     |

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| Code  | Derivative warrants  | No. of        |              |            | Amount raised (HK\$ mil.) |
|-------|--|---------------|--------------|------------|---------------------------|
|       |  | issue (units) | Listing date | Expiry     |                           |
| 26803 | SGA Societe Generale Acceptance N.V. – Shimao Ppt Eu Wt Aug17A | 50,000,000    | 2016/03/16   | 2017/08/02 | 11.00                     |
| 26804 | SGA Societe Generale Acceptance NV – Yanzhou Coal Eu Wt Nov16A | 18,000,000    | 2016/03/16   | 2016/11/03 | 10.62                     |
| 26824 | Goldman Sachs SP (Asia) – Lenovo European Wts Apr 2018 A       | 80,000,000    | 2016/03/17   | 2018/04/30 | 12.16                     |
| 26811 | HK Bank – BOC HK European Warrants Jan 2017 A                  | 80,000,000    | 2016/03/17   | 2017/01/27 | 12.80                     |
| 26812 | HK Bank – CNOOC European Put Warrants Nov 2017 A               | 80,000,000    | 2016/03/17   | 2017/11/30 | 12.00                     |
| 26818 | Haitong Int'l Sec – BOCL European Warrants Aug 2016 A          | 80,000,000    | 2016/03/17   | 2016/08/29 | 12.00                     |
| 26815 | Haitong Int'l Sec – GAC European Warrants Nov 2017 A           | 65,000,000    | 2016/03/17   | 2017/11/27 | 10.53                     |
| 26813 | Haitong Int'l Sec – ICBC European Warrants Sep 2016 A          | 40,000,000    | 2016/03/17   | 2016/09/30 | 10.00                     |
| 26819 | Haitong Int'l Sec – PetroChina European Warrants Sep 2016 A    | 40,000,000    | 2016/03/17   | 2016/09/30 | 10.00                     |
| 26814 | Haitong Int'l Sec – Ping An European Warrants Sep 2016 A       | 50,000,000    | 2016/03/17   | 2016/09/29 | 10.50                     |
| 26823 | J P Morgan SP BV – Galaxy Ent European Put Wts Nov 2016 A      | 100,000,000   | 2016/03/17   | 2016/11/01 | 25.00                     |
| 26820 | Macquarie Bank Ltd. – CITIC European Warrants Oct 2016 B       | 15,000,000    | 2016/03/17   | 2016/10/04 | 10.71                     |
| 26822 | UBS AG – Kingsoft European Warrants Nov 2016 A                 | 100,000,000   | 2016/03/17   | 2016/11/14 | 28.50                     |
| 26821 | UBS AG – Zijin Mining European Warrants Nov 2016 A             | 40,000,000    | 2016/03/17   | 2016/11/21 | 12.80                     |
| 26838 | Credit Suisse AG – Ping An European Warrants Oct 2016 C        | 80,000,000    | 2016/03/18   | 2016/10/04 | 12.00                     |
| 26837 | Bank of East Asia – BYD European Warrants Dec 2018 A           | 100,000,000   | 2016/03/18   | 2018/12/31 | 25.00                     |
| 26835 | Bank of East Asia – CC Bank European Warrants Nov 2016 A       | 40,000,000    | 2016/03/18   | 2016/11/04 | 10.00                     |
| 26836 | Bank of East Asia – CM Bank European Warrants Mar 2017 A       | 40,000,000    | 2016/03/18   | 2017/03/03 | 10.00                     |
| 26834 | Bank of East Asia – Stanchart European Warrants Dec 2018 A     | 100,000,000   | 2016/03/18   | 2018/12/31 | 25.00                     |
| 26825 | HK Bank – AIA European Warrants Sep 2016 A                     | 80,000,000    | 2016/03/18   | 2016/09/30 | 24.00                     |
| 26827 | HK Bank – AIA European Put Warrants Sep 2016 B                 | 50,000,000    | 2016/03/18   | 2016/09/30 | 12.50                     |
| 26833 | Macquarie Bank Ltd. – AIA European Warrants Oct 2016 B         | 32,000,000    | 2016/03/18   | 2016/10/04 | 10.18                     |
| 26829 | Macquarie Bank Ltd. – CHALCO European Warrants Oct 2016 A      | 24,000,000    | 2016/03/18   | 2016/10/04 | 10.25                     |
| 26832 | Macquarie Bank Ltd. – Tencent European Warrants Oct 2016 C     | 17,000,000    | 2016/03/18   | 2016/10/04 | 10.05                     |
| 26831 | UBS AG – BOCL European Warrants Feb 2017 A                     | 60,000,000    | 2016/03/18   | 2017/02/24 | 10.20                     |
| 26830 | UBS AG – Yanzhou Coal European Wts Dec 2017 A                  | 70,000,000    | 2016/03/18   | 2017/12/27 | 12.39                     |
| 26843 | Credit Suisse AG – AIA European Put Warrants Nov 2016 A        | 70,000,000    | 2016/03/21   | 2016/11/02 | 17.50                     |
| 26840 | Credit Suisse AG – BOCL European Warrants Oct 2016 A           | 80,000,000    | 2016/03/21   | 2016/10/03 | 12.00                     |
| 26844 | Credit Suisse AG – CNBM European Warrants Oct 2016 A           | 30,000,000    | 2016/03/21   | 2016/10/03 | 14.10                     |
| 26850 | Goldman Sachs SP (Asia) – CITIC European Warrants Oct 2016 A   | 80,000,000    | 2016/03/21   | 2016/10/28 | 50.48                     |
| 26849 | J P Morgan SP BV – HSI European Put Warrants Sep 2016 F        | 300,000,000   | 2016/03/21   | 2016/09/29 | 45.30                     |
| 26848 | Macquarie Bank Ltd. – HKEX European Warrants Dec 2016 B        | 50,000,000    | 2016/03/21   | 2016/12/02 | 10.00                     |
| 26846 | UBS AG – Fosun Intl European Warrants Aug 2016 C               | 70,000,000    | 2016/03/21   | 2016/08/24 | 10.50                     |
| 26847 | UBS AG – Greatwall Motor European Warrants Feb 2017 A          | 40,000,000    | 2016/03/21   | 2017/02/27 | 10.00                     |
| 26856 | BOCI Asia Ltd. – Galaxy Ent European Put Warrants Nov 2016 A   | 100,000,000   | 2016/03/22   | 2016/11/07 | 33.00                     |
| 26857 | BOCI Asia Ltd. – Sands China European Warrants Oct 2016 A      | 100,000,000   | 2016/03/22   | 2016/10/24 | 32.00                     |
| 26860 | BOCI Asia Ltd. – Sands China European Put Wts Oct 2016 B       | 100,000,000   | 2016/03/22   | 2016/10/17 | 37.00                     |
| 26861 | BOCI Asia Ltd. – Tracker Fund European Warrants Jun 2017 A     | 100,000,000   | 2016/03/22   | 2017/06/26 | 25.00                     |
| 26871 | Goldman Sachs SP (Asia) – HSBC European Warrants Aug 2016 A    | 100,000,000   | 2016/03/22   | 2016/08/01 | 15.10                     |
| 26872 | Goldman Sachs SP (Asia) – HSBC European Put Wts Sep 2016 D     | 80,000,000    | 2016/03/22   | 2016/09/02 | 12.32                     |
| 26864 | HK Bank – CITIC European Warrants Dec 2017 A                   | 80,000,000    | 2016/03/22   | 2017/12/28 | 12.00                     |
| 26865 | HK Bank – China Overseas European Warrants Oct 2016 A          | 80,000,000    | 2016/03/22   | 2016/10/31 | 12.00                     |
| 26862 | HK Bank – CRRC European Warrants Jul 2017 A                    | 80,000,000    | 2016/03/22   | 2017/07/31 | 20.00                     |
| 26869 | J P Morgan SP BV – AIA European Put Warrants Jul 2016 A        | 100,000,000   | 2016/03/22   | 2016/07/29 | 15.00                     |

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| Code  | Derivative warrants   | No. of        |              |            | Amount raised (HK\$ mil.) |
|-------|---|---------------|--------------|------------|---------------------------|
|       |   | issue (units) | Listing date | Expiry     |                           |
| 26852 | Macquarie Bank Ltd. – Anta Sports European Wts Dec 2016 A     | 29,000,000    | 2016/03/22   | 2016/12/19 | 10.01                     |
| 26867 | Macquarie Bank Ltd. – NCI European Warrants Mar 2017 A        | 32,000,000    | 2016/03/22   | 2017/03/02 | 10.02                     |
| 26866 | Macquarie Bank Ltd. – Ping An European Warrants Aug 2016 B    | 45,000,000    | 2016/03/22   | 2016/08/29 | 10.13                     |
| 26853 | Macquarie Bank Ltd. – Tencent European Put Wts Oct 2016 D     | 14,000,000    | 2016/03/22   | 2016/10/04 | 10.01                     |
| 26884 | Credit Suisse AG – Car Inc European Warrants Mar 2017 A       | 40,000,000    | 2016/03/23   | 2017/03/31 | 10.00                     |
| 26880 | Credit Suisse AG – Country Garden European Warrants Sep 16 A  | 40,000,000    | 2016/03/23   | 2016/09/30 | 13.60                     |
| 26874 | Goldman Sachs SP (Asia) – HSI European Put Wts Sep 2016 F     | 200,000,000   | 2016/03/23   | 2016/09/29 | 30.00                     |
| 26885 | Haitong Int'l Sec – CSOP A50 ETF European Warrants Nov 2016 A | 100,000,000   | 2016/03/23   | 2016/11/28 | 15.00                     |
| 26886 | Haitong Int'l Sec – CSOP A50 ETF European Warrants Sep 2018 A | 80,000,000    | 2016/03/23   | 2018/09/28 | 20.00                     |
| 26890 | Haitong Int'l Sec – CSOP A50 ETF European Put Wts Feb 2017 A  | 80,000,000    | 2016/03/23   | 2017/02/01 | 20.00                     |
| 26879 | Macquarie Bank Ltd. – SHK Ppt European Put Wts Nov 2016 A     | 21,000,000    | 2016/03/23   | 2016/11/02 | 10.06                     |
| 26878 | Macquarie Bank Ltd. – Tencent European Warrants Oct 2016 E    | 10,000,000    | 2016/03/23   | 2016/10/04 | 12.54                     |
| 26893 | Credit Suisse AG – Ping An European Warrants Oct 2016 D       | 80,000,000    | 2016/03/24   | 2016/10/03 | 20.00                     |
| 26896 | Goldman Sachs SP (Asia) – HSI European Put Wts Sep 2016 G     | 200,000,000   | 2016/03/24   | 2016/09/29 | 31.20                     |
| 26897 | Goldman Sachs SP (Asia) – Ping An European Wts Sep 2016 A     | 100,000,000   | 2016/03/24   | 2016/09/29 | 18.00                     |
| 26891 | Macquarie Bank Ltd. – China Unicom European Wts Oct 2016 A    | 40,000,000    | 2016/03/24   | 2016/10/04 | 10.00                     |
| 26894 | UBS AG – CKI Holdings European Warrants Oct 2016 A            | 40,000,000    | 2016/03/24   | 2016/10/11 | 10.00                     |
| 26895 | UBS AG – HKEX European Warrants Dec 2016 C                    | 300,000,000   | 2016/03/24   | 2016/12/12 | 45.00                     |
| 26908 | BOCI Asia Ltd. – China Life European Warrants Dec 2016 B      | 200,000,000   | 2016/03/29   | 2016/12/21 | 42.20                     |
| 26909 | BOCI Asia Ltd. – Tencent Holdings European Put Wts Feb 2017 B | 100,000,000   | 2016/03/29   | 2017/02/08 | 15.90                     |
| 26937 | Credit Suisse AG – Agricultural Bank European Wts Sep 2016 B  | 70,000,000    | 2016/03/29   | 2016/09/23 | 10.50                     |
| 26926 | Credit Suisse AG – China Life European Warrants Nov 2016 A    | 80,000,000    | 2016/03/29   | 2016/11/03 | 20.00                     |
| 26936 | Credit Suisse AG – China Life European Put Wts Nov 2016 B     | 60,000,000    | 2016/03/29   | 2016/11/30 | 10.80                     |
| 26935 | Credit Suisse AG – China Mobile European Warrants Sep 2016 A  | 80,000,000    | 2016/03/29   | 2016/09/05 | 16.00                     |
| 26964 | Credit Suisse AG – CRRC European Warrants Jul 2017 A          | 70,000,000    | 2016/03/29   | 2017/07/31 | 17.50                     |
| 26969 | Credit Suisse AG – Geely Auto European Warrants Sep 2016 B    | 35,000,000    | 2016/03/29   | 2016/09/30 | 11.20                     |
| 26968 | Credit Suisse AG – Galaxy Ent European Put Wts Oct 2016 A     | 60,000,000    | 2016/03/29   | 2016/10/03 | 15.00                     |
| 26939 | Credit Suisse AG – HSI European Put Warrants Jul 2016 D       | 150,000,000   | 2016/03/29   | 2016/07/28 | 22.50                     |
| 26970 | Credit Suisse AG – Kingsoft European Warrants Nov 2016 A      | 50,000,000    | 2016/03/29   | 2016/11/04 | 12.50                     |
| 26966 | Credit Suisse AG – Sands China European Warrants Oct 2016 A   | 80,000,000    | 2016/03/29   | 2016/10/04 | 20.00                     |
| 26933 | Credit Suisse AG – Tencent Holdings European Wts Apr 2017 A   | 150,000,000   | 2016/03/29   | 2017/04/03 | 22.50                     |
| 26925 | Credit Suisse AG – Tencent Holdings Euro Put Wts Feb 2017 A   | 100,000,000   | 2016/03/29   | 2017/02/02 | 15.00                     |
| 26977 | Goldman Sachs SP (Asia) – CC Bank European Wts Sep 2016 A     | 80,000,000    | 2016/03/29   | 2016/09/30 | 23.20                     |
| 26985 | Goldman Sachs SP (Asia) – Tencent European Put Wt Jan 2017 B  | 200,000,000   | 2016/03/29   | 2017/01/27 | 30.20                     |
| 26919 | HK Bank – HSCEI European Put Warrants Sep 2016 E              | 180,000,000   | 2016/03/29   | 2016/09/29 | 45.00                     |
| 26921 | HK Bank – HSI European Put Warrants Jul 2016 F                | 180,000,000   | 2016/03/29   | 2016/07/28 | 27.00                     |
| 26915 | HK Bank – HSI European Put Warrants Sep 2016 G                | 180,000,000   | 2016/03/29   | 2016/09/29 | 45.00                     |
| 26932 | HK Bank – Tencent European Warrants Apr 2017 A                | 100,000,000   | 2016/03/29   | 2017/04/03 | 15.00                     |
| 26930 | HK Bank – Tencent European Warrants May 2017 A                | 100,000,000   | 2016/03/29   | 2017/05/31 | 15.00                     |
| 26920 | HK Bank – Tencent European Put Warrants Jan 2017 A            | 100,000,000   | 2016/03/29   | 2017/01/27 | 18.00                     |
| 26923 | HK Bank – Tencent European Put Warrants Dec 2017 A            | 80,000,000    | 2016/03/29   | 2017/12/29 | 20.00                     |
| 26904 | Haitong Int'l Sec – AIA European Warrants Sep 2016 A          | 60,000,000    | 2016/03/29   | 2016/09/30 | 15.00                     |
| 26905 | Haitong Int'l Sec – AIA European Put Warrants Oct 2016 A      | 70,000,000    | 2016/03/29   | 2016/10/28 | 10.57                     |
| 26903 | Haitong Int'l Sec – Ch Overseas European Warrants Nov 2016 A  | 70,000,000    | 2016/03/29   | 2016/11/07 | 11.55                     |

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|-------|---|---------------|--------------|------------|---------------------------|
|       |   | issue (units) | Listing date | Expiry     |                           |
| 26899 | Haitong Int'l Sec – Galaxy Ent European Warrants Aug 2016 A     | 70,000,000    | 2016/03/29   | 2016/08/30 | 10.71                     |
| 26902 | Haitong Int'l Sec – HKEX European Warrants Dec 2016 A           | 70,000,000    | 2016/03/29   | 2016/12/28 | 10.50                     |
| 26976 | J P Morgan SP BV – CKI Holdings European Warrants Nov 2016 A    | 40,000,000    | 2016/03/29   | 2016/11/02 | 14.96                     |
| 26971 | J P Morgan SP BV – Galaxy Ent European Warrants Nov 2016 B      | 100,000,000   | 2016/03/29   | 2016/11/02 | 25.00                     |
| 26972 | J P Morgan SP BV – Galaxy Ent European Put Wts Nov 2016 C       | 100,000,000   | 2016/03/29   | 2016/11/02 | 31.10                     |
| 26973 | J P Morgan SP BV – Sands China European Warrants Aug 2016 D     | 100,000,000   | 2016/03/29   | 2016/08/02 | 16.20                     |
| 26974 | J P Morgan SP BV – Sands China European Put Wts Oct 2016 B      | 100,000,000   | 2016/03/29   | 2016/10/03 | 32.00                     |
| 26944 | J P Morgan SP BV – Tencent European Put Warrants Dec 2016 F     | 200,000,000   | 2016/03/29   | 2016/12/02 | 50.20                     |
| 26940 | J P Morgan SP BV – Tencent European Put Warrants Nov 2017 A     | 200,000,000   | 2016/03/29   | 2017/11/03 | 50.00                     |
| 26957 | Macquarie Bank Ltd. – CEB Bank European Warrants Apr 2017 A     | 17,000,000    | 2016/03/29   | 2017/04/12 | 10.35                     |
| 26962 | Macquarie Bank Ltd. – CKH European Warrants Nov 2016 A          | 28,000,000    | 2016/03/29   | 2016/11/02 | 10.02                     |
| 26961 | Macquarie Bank Ltd. – Galaxy Ent European Wts Dec 2016 A        | 40,000,000    | 2016/03/29   | 2016/12/02 | 10.00                     |
| 26960 | Macquarie Bank Ltd. – Sands China European Wts Nov 2016 A       | 40,000,000    | 2016/03/29   | 2016/11/02 | 10.00                     |
| 26959 | Macquarie Bank Ltd. – Wynn Macau European Wts Jul 2016 A        | 67,000,000    | 2016/03/29   | 2016/07/04 | 10.05                     |
| 26958 | Macquarie Bank Ltd. – Wynn Macau European Wts May 2017 A        | 40,000,000    | 2016/03/29   | 2017/05/04 | 10.00                     |
| 26947 | SGA Societe Generale Acceptance N.V. – Galaxy Ent Eu Wt Nov16C  | 80,000,000    | 2016/03/29   | 2016/11/03 | 20.00                     |
| 26948 | SGA Societe Generale Acceptance N.V. – MGM China Eu Wt Jul17A   | 80,000,000    | 2016/03/29   | 2017/07/05 | 14.40                     |
| 26950 | SGA Societe Generale Acceptance N.V. – Sands China Eu Wt Nov16B | 80,000,000    | 2016/03/29   | 2016/11/03 | 20.00                     |
| 26951 | SGA Societe Generale Acceptance N.V. – Wynn Eu Wt Nov 2016 A    | 70,000,000    | 2016/03/29   | 2016/11/03 | 10.50                     |
| 26963 | UBS AG – Tencent Holdings European Put Warrants Jan 2017 A      | 100,000,000   | 2016/03/29   | 2017/01/26 | 15.60                     |
| 27005 | Credit Suisse AG – Haitong Sec European Warrants Jan 2017 A     | 60,000,000    | 2016/03/30   | 2017/01/27 | 15.00                     |
| 27012 | Goldman Sachs SP (Asia) – CITIC Sec European Wts Jul 2016 B     | 80,000,000    | 2016/03/30   | 2016/07/29 | 12.88                     |
| 27011 | Goldman Sachs SP (Asia) – China Life Euro Wts Oct 2016 A        | 100,000,000   | 2016/03/30   | 2016/10/28 | 15.10                     |
| 26991 | Goldman Sachs SP (Asia) – HKEX European Warrants Sep 2017 A     | 200,000,000   | 2016/03/30   | 2017/09/01 | 46.20                     |
| 27010 | Goldman Sachs SP (Asia) – HSCEI European Put Wts Oct 2016 A     | 150,000,000   | 2016/03/30   | 2016/10/28 | 33.30                     |
| 26987 | Goldman Sachs SP (Asia) – HSI European Warrants Aug 2016 G      | 200,000,000   | 2016/03/30   | 2016/08/30 | 30.00                     |
| 26988 | Goldman Sachs SP (Asia) – Tencent European Wt May 2017 A        | 200,000,000   | 2016/03/30   | 2017/05/29 | 30.00                     |
| 27009 | J P Morgan SP BV – GF Sec European Warrants Dec 2016 A          | 80,000,000    | 2016/03/30   | 2016/12/01 | 20.48                     |
| 27008 | J P Morgan SP BV – HTSC European Warrants Dec 2016 A            | 80,000,000    | 2016/03/30   | 2016/12/01 | 20.16                     |
| 26993 | Macquarie Bank Ltd. – GCL-Poly Energy European Wts Feb 2017 A   | 35,000,000    | 2016/03/30   | 2017/02/02 | 10.01                     |
| 26995 | Macquarie Bank Ltd. – HKEX European Warrants Mar 2017 A         | 40,000,000    | 2016/03/30   | 2017/03/02 | 10.00                     |
| 26998 | SGA Societe Generale Acceptance N.V. – CGS Euro Wts Jul 17 A    | 100,000,000   | 2016/03/30   | 2017/07/03 | 17.50                     |
| 26996 | SGA Societe Generale Acceptance N.V. – Ch Cinda Eu Wt Dec16C    | 30,000,000    | 2016/03/30   | 2016/12/05 | 10.05                     |
| 27001 | SGA Societe Generale Acceptance N.V. – CITIC Sec Eu Wt Nov16A   | 40,000,000    | 2016/03/30   | 2016/11/03 | 10.60                     |
| 27039 | BNP Paribas Arbit Issu B.V. – CKP European Warrants Nov 16 A    | 40,000,000    | 2016/03/31   | 2016/11/02 | 11.20                     |
| 27035 | BNP Paribas Arbit Issu B.V. – HKEX European Wts Aug 2017 A      | 60,000,000    | 2016/03/31   | 2017/08/02 | 15.00                     |
| 27038 | BNP Paribas Arbit Issu B.V. – HLand Dev Euro Wts Nov 2016 A     | 40,000,000    | 2016/03/31   | 2016/11/02 | 15.20                     |
| 27040 | BNP Paribas Arbit Issu B.V. – HSCEI European Wts Jun 2017 A     | 100,000,000   | 2016/03/31   | 2017/06/29 | 18.00                     |
| 27041 | BNP Paribas Arbit Issu B.V. – HSCEI Euro Put Wts Dec 2016 B     | 100,000,000   | 2016/03/31   | 2016/12/29 | 15.00                     |
| 27037 | BNP Paribas Arbit Issu B.V. – Tencent Hldgs Eu Wt Jun 2017 A    | 80,000,000    | 2016/03/31   | 2017/06/02 | 12.00                     |
| 27042 | Credit Suisse AG – HKEX European Put Warrants Nov 2016 D        | 100,000,000   | 2016/03/31   | 2016/11/02 | 15.00                     |
| 27016 | Goldman Sachs SP (Asia) – HKEX European Warrants Feb 2017 A     | 300,000,000   | 2016/03/31   | 2017/02/27 | 45.90                     |
| 27051 | Goldman Sachs SP (Asia) – Kingsoft European Wts Sep 2016 B      | 40,000,000    | 2016/03/31   | 2016/09/30 | 10.08                     |
| 27017 | HK Bank – Agricultural Bank European Warrants Dec 2016 A        | 80,000,000    | 2016/03/31   | 2016/12/30 | 20.00                     |



## MAIN BOARD WARRANTS

| Code         | Derivative warrants  | No. of        |              |            | Amount raised<br>(HK\$ mil.) |
|--------------|--|---------------|--------------|------------|------------------------------|
|              |  | issue (units) | Listing date | Expiry     |                              |
| 27018        | HK Bank – BOCL European Warrants Dec 2016 A                  | 80,000,000    | 2016/03/31   | 2016/12/30 | 20.00                        |
| 27027        | HK Bank – Galaxy Ent European Put Warrants Dec 2016 A        | 50,000,000    | 2016/03/31   | 2016/12/30 | 17.50                        |
| 27023        | HK Bank – HKEX European Warrants Feb 2017 A                  | 100,000,000   | 2016/03/31   | 2017/02/28 | 15.00                        |
| 27026        | HK Bank – HKEX European Put Warrants Dec 2016 C              | 80,000,000    | 2016/03/31   | 2016/12/28 | 16.00                        |
| 27021        | HK Bank – HSCEI European Warrants Dec 2016 C                 | 180,000,000   | 2016/03/31   | 2016/12/29 | 45.00                        |
| 27056        | J P Morgan SP BV – Agricultural Bk Euro Warrants Dec 2016 B  | 100,000,000   | 2016/03/31   | 2016/12/02 | 25.00                        |
| 27055        | J P Morgan SP BV – BankComm European Warrants Nov 2016 A     | 80,000,000    | 2016/03/31   | 2016/11/01 | 20.24                        |
| 27052        | J P Morgan SP BV – HKEX European Warrants May 2017 A         | 200,000,000   | 2016/03/31   | 2017/05/31 | 30.60                        |
| 27054        | J P Morgan SP BV – HSCEI European Put Warrants Oct 2016 B    | 200,000,000   | 2016/03/31   | 2016/10/28 | 36.00                        |
| 27053        | J P Morgan SP BV – Tencent European Warrants Jul 2016 B      | 100,000,000   | 2016/03/31   | 2016/07/04 | 72.80                        |
| 27034        | Macquarie Bank Ltd. – CLP European Warrants Feb 2017 A       | 40,000,000    | 2016/03/31   | 2017/02/02 | 10.00                        |
| 27030        | Macquarie Bank Ltd. – China Overseas European Wts Apr 2017 A | 40,000,000    | 2016/03/31   | 2017/04/04 | 10.00                        |
| 27031        | Macquarie Bank Ltd. – China Overseas European Put Wts Jan17A | 40,000,000    | 2016/03/31   | 2017/01/04 | 10.00                        |
| 27044        | SGA Societe Generale Acceptance N.V. – HSCEI Eu Wt Sep 2016E | 150,000,000   | 2016/03/31   | 2016/09/29 | 28.50                        |
| 27045        | SGA Societe Generale Acceptance N.V. – HSCEI Eu Wt Dec 2016C | 150,000,000   | 2016/03/31   | 2016/12/29 | 24.75                        |
| 27046        | SGA Societe Generale Acceptance N.V. – Kingsoft Eu Wt Nov16A | 50,000,000    | 2016/03/31   | 2016/11/03 | 12.50                        |
| <b>Total</b> |  |               |              |            | <b>31,890.47</b>             |

# Further issue

# MAIN BOARD DEBT SECURITIES

## Debt Securities Trading Statistics

|      |    | Turnover value                 |                         |
|------|----|--------------------------------|-------------------------|
|      |    | Exchange fund notes (HK\$ mil) | Market total (HK\$ mil) |
| 2015 | Q1 | -                              | 1,023.80                |
|      | Q2 | -                              | 2,000.30                |
|      | Q3 | -                              | 5,208.52                |
|      | Q4 | -                              | 1,147.96                |
| 2016 | Q1 | -                              | 2,120.63                |

## Debt Securities Nominal Value

|      |    | No. of issues | Nominal value (HK\$ mil.) |
|------|----|---------------|---------------------------|
|      |    |               |                           |
| 2015 | Q1 | 665           | 2,393,288.98              |
|      | Q2 | 708           | 2,637,617.58              |
|      | Q3 | 736           | 2,750,133.27              |
|      | Q4 | 762           | 2,741,871.80              |
| 2016 | Q1 | 769           | 2,777,917.26              |

## New Listing Statistics – Debt Securities

|      |    | No. of newly listed debt securities | Amount raised (HK\$ mil.) |
|------|----|-------------------------------------|---------------------------|
|      |    |                                     |                           |
| 2015 | Q1 | 38                                  | 186,536.69                |
|      | Q2 | 59                                  | 307,836.43                |
|      | Q3 | 37                                  | 141,193.57                |
|      | Q4 | 43                                  | 115,190.75                |
| 2016 | Q1 | 26                                  | 89,996.61                 |

# MAIN BOARD DEBT SECURITIES

## Newly Listed Debt Securities

for 1st quarter 2016

| Code         | Debt securities  | Principal |               | Listing date | Maturity   | Amount raised<br>(HK\$ mil.) |
|--------------|--|-----------|---------------|--------------|------------|------------------------------|
| 05600        | China Overseas Finance Investment (Cayman) V Ltd. Zero Coupon Guar Exchangeable Bonds 2023 | USD       | 1,500,000,000 | 2016/01/06   | 2023/01/05 | 11,700.00                    |
| 05602        | Skyfame Realty (Holdings) Ltd. 0.10% Bonds 2032  | HKD       | 20,000,000    | 2016/01/06   | 2032/11/14 | -                            |
| 05603        | ZHIYUAN Group (BVI) Co., Ltd. 6.20% Guaranteed Bonds 2019                                  | USD       | 200,000,000   | 2016/01/12   | 2019/01/11 | 1,560.00                     |
| 05604        | Swire Properties MTN Financing Ltd. 3.625% Guar. Notes 2026                                | USD       | 500,000,000   | 2016/01/14   | 2026/01/13 | 3,887.05                     |
| 05605        | Logan Property Holdings Co. Ltd. 7.70% Senior Notes 2020                                   | USD       | 260,000,000   | 2016/01/20   | 2020/01/19 | 2,007.72                     |
| 05606        | Blue Sky Fliers Co. Ltd. 6.90% Guaranteed Notes 2019                                       | USD       | 180,000,000   | 2016/01/21   | 2019/01/20 | 1,390.96                     |
| 04230        | The Govt of the HKSAR of the PRC 1.68% Bonds 2026  | HKD       | 1,000,000,000 | 2016/01/22   | 2026/01/21 | 964.70                       |
| 05602 #      | Skyfame Realty (Holdings) Ltd. 0.10% Bonds 2032  | HKD       | 10,000,000    | 2016/01/22   | 2032/11/14 | -                            |
| 05607        | Hsin Chong Construction Group Ltd. 8.50% Senior Notes 2019                                 | USD       | 150,000,000   | 2016/01/25   | 2019/01/22 | 1,170.00                     |
| 05609        | Bank of Communications Co., Ltd. HK Branch 2.25% Notes 2019                                | USD       | 500,000,000   | 2016/01/26   | 2019/01/25 | 3,898.09                     |
| 05608        | CNMC International Capitals Co. Ltd. 2.375% Credit Enhanced Bonds 2019                     | USD       | 500,000,000   | 2016/01/27   | 2019/01/26 | 3,878.08                     |
| 05601        | Shandong Iron and Steel Xinheng International Co. Ltd. 5.75% Guar. Bonds 2021              | USD       | 400,000,000   | 2016/02/01   | 2021/01/06 | 3,086.96                     |
| 05610        | China Railway Construction Corporation Ltd. Zero Coupon Conv. Bonds 2021                   | USD       | 500,000,000   | 2016/02/01   | 2021/01/29 | 3,900.00                     |
| 05611        | CITIC Ltd. 4.75% Notes 2036  | USD       | 350,000,000   | 2016/02/05   | 2036/02/04 | 2,712.58                     |
| 05612        | CITIC Ltd. 4.875% Notes 2041   | USD       | 150,000,000   | 2016/02/05   | 2041/02/04 | 1,157.49                     |
| 05613        | CRRC Corporation Ltd. Zero Coupon Convertible Bonds 2021                                   | USD       | 600,000,000   | 2016/02/11   | 2021/02/05 | 4,680.00                     |
| 05602 #      | Skyfame Realty (Holdings) Ltd. 0.10% Bonds 2032  | HKD       | 30,000,000    | 2016/02/11   | 2032/11/14 | -                            |
| 04063        | Hong Kong Monetary Authority, The 0.93% Exchange Fund Notes 2018                           | HKD       | 1,200,000,000 | 2016/02/18   | 2018/02/19 | 1,205.16                     |
| 05602 #      | Skyfame Realty (Holdings) Ltd. 0.10% Bonds 2032  | HKD       | 20,000,000    | 2016/02/23   | 2032/11/14 | -                            |
| 05614        | OVPH Ltd. Guaranteed Perpetual Capital Securities  | USD       | 1,200,000,000 | 2016/03/02   | -          | 9,360.00                     |
| 05615        | Bank of China Ltd., Hong Kong Branch 1.875% Notes 2019A                                    | USD       | 600,000,000   | 2016/03/02   | 2019/03/01 | 4,667.93                     |
| 05616        | Bank of China Ltd., Hong Kong Branch 2.375% Notes 2021                                     | USD       | 500,000,000   | 2016/03/02   | 2021/03/01 | 3,893.41                     |
| 05617        | Bank of China Ltd., Hong Kong Branch FR Notes 2019B  | USD       | 900,000,000   | 2016/03/02   | 2019/03/01 | 7,020.00                     |
| 04227 #      | The Govt of the HKSAR of the PRC 2.13% Bonds 2030  | HKD       | 600,000,000   | 2016/03/04   | 2030/07/16 | 621.06                       |
| 05602 #      | Skyfame Realty (Holdings) Ltd. 0.10% Bonds 2032  | HKD       | 20,000,000    | 2016/03/16   | 2032/11/14 | -                            |
| 05618        | AIA Group Ltd. 4.50% Notes 2046  | USD       | 750,000,000   | 2016/03/17   | 2046/03/16 | 5,775.94                     |
| 05620        | Azure Orbit III International Finance Ltd. 2.125% Guar. Notes 2019                         | USD       | 400,000,000   | 2016/03/22   | 2019/03/21 | 3,110.55                     |
| 05621        | Azure Orbit III International Finance Ltd. 2.625% Guar. Notes 2021                         | USD       | 600,000,000   | 2016/03/22   | 2021/03/21 | 4,653.28                     |
| 05622        | AMTD Group Co. Ltd. 5.00% Notes 2019   | USD       | 110,000,000   | 2016/03/22   | 2019/03/21 | 858.00                       |
| 05619        | Carnival Group International Holdings Ltd. 8.00% Senior Bonds 2019                         | USD       | 180,000,000   | 2016/03/23   | 2019/03/22 | 1,404.00                     |
| 05602 #      | Skyfame Realty (Holdings) Ltd. 0.10% Bonds 2032  | HKD       | 20,000,000    | 2016/03/24   | 2032/11/14 | -                            |
| 05623        | China Oceanwide International Financial Management Co., Ltd. 8.50% Bonds 2019              | HKD       | 500,000,000   | 2016/03/29   | 2019/03/24 | 500.00                       |
| 05606 #      | Blue Sky Fliers Co. Ltd. 6.90% Guaranteed Notes 2019                                       | USD       | 120,000,000   | 2016/03/31   | 2019/01/20 | 933.66                       |
| <b>Total</b> |  |           |               |              |            | <b>89,996.61</b>             |

# Further issue

# MAIN BOARD UNIT TRUSTS AND MUTUAL FUNDS

## Unit Trusts and Mutual Funds Trading Statistics

|      |    | Exchange<br>Traded<br>Fund (ETF)<br>(HK\$ mil.) | Real Estate<br>Investment<br>Trusts (REITs)<br>(HK\$ mil.) | Others<br>(HK\$ mil.) | Total<br>(HK\$ mil.) | % of<br>market total |
|------|----|---|--|-----------------------|----------------------|----------------------|
| 2015 | Q1 | 534,465.77                                      | 20,224.94  | 146.89                | 554,837.60           | 10.59                |
|      | Q2 | 780,241.86                                      | 25,576.54  | 775.90                | 806,594.30           | 8.26                 |
|      | Q3 | 568,942.55                                      | 22,063.78  | 92.32                 | 591,098.64           | 9.32                 |
|      | Q4 | 287,309.24                                      | 14,162.34  | 88.40                 | 301,559.98           | 6.72                 |
| 2016 | Q1 | 304,713.11                                      | 21,668.39  | 40.27                 | 326,421.77           | 7.66                 |

Note: Turnover value traded in non-HKD currency securities have been included

## Unit Trusts and Mutual Funds Market Value

|      |    | No. of<br>issues | Exchange<br>Traded<br>Funds (ETF)<br>(HK\$ mil.) | No. of<br>issues | Real Estate<br>Investment<br>Trusts<br>(REITs)<br>(HK\$ mil.) | No. of<br>issues | Others<br>(HK\$ mil.) | No. of<br>issues | Total<br>(HK\$ mil.) |
|------|----|------------------|--|------------------|---|------------------|-----------------------|------------------|----------------------|
| 2015 | Q1 | 126              | 566,607.94                                       | 11               | 207,324.24  | 1                | 2,077.14              | 138              | 776,009.32           |
|      | Q2 | 130              | 565,937.82                                       | 11               | 204,798.09  | 1                | 2,635.24              | 142              | 773,371.15           |
|      | Q3 | 131              | 483,672.20                                       | 11               | 187,754.18  | 1                | 1,739.34              | 143              | 673,165.72           |
|      | Q4 | 133              | 477,142.97                                       | 11               | 199,652.72  | 1                | 2,236.60              | 145              | 679,032.29           |
| 2016 | Q1 | 137              | 535,139.73                                       | 11               | 199,170.18  | 1                | 1,342.80              | 149              | 735,652.71           |

## New Listing Unit Trust and Mutual Funds Statistics

|      |    | No. of newly listed<br>unit trust and mutual funds | Funds raised<br>(HK\$ mil.) |
|------|----|--|-----------------------------|
| 2015 | Q1 | 5  | -                           |
|      | Q2 | 4  | -                           |
|      | Q3 | 1  | -                           |
|      | Q4 | 4  | -                           |
| 2016 | Q1 | 5  | -                           |

# MAIN BOARD UNIT TRUSTS AND MUTUAL FUNDS

## Newly Listed Unit Trust and Mutual Funds

for 1st quarter 2016

| Code        | Unit trust and Mutual funds                  | Fund manager                                  | Issue price (HK\$) | No. of unit offer | Amount raised (HK\$ mil.) | Subscription rate (times) | Listing date |
|-------------|--|---|--------------------|-------------------|---------------------------|---------------------------|--------------|
| 83162/03162 | iShares MSCI China A International Index ETF | BlackRock Asset Management North Asia Limited | n.a.               | n.a.              | n.a.                      | n.a.                      | 2016/01/28   |
| 03086       | BMO NASDAQ 100 ETF                           | BMO Global Asset Management (Asia) Limited    | n.a.               | n.a.              | n.a.                      | n.a.                      | 2016/02/18   |
| 03121       | BMO MSCI Asia Pacific Real Estate ETF        | BMO Global Asset Management (Asia) Limited    | n.a.               | n.a.              | n.a.                      | n.a.                      | 2016/02/18   |
| 03160       | BMO MSCI Japan Hedged to USD ETF             | BMO Global Asset Management (Asia) Limited    | n.a.               | n.a.              | n.a.                      | n.a.                      | 2016/02/18   |
| 03165       | BMO MSCI Europe Quality Hedged to USD ETF    | BMO Global Asset Management (Asia) Limited    | n.a.               | n.a.              | n.a.                      | n.a.                      | 2016/02/18   |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

## Callable Bull/Bear Contracts Trading Statistics

|      |    | Number | Market value<br>(HK\$ mil.) | Turnover value<br>(HK\$ mil.) |
|------|----|--------|-----------------------------|-------------------------------|
| 2015 | Q1 | 1,641  | 51,783.06                   | 379,789.64                    |
|      | Q2 | 1,905  | 84,638.00                   | 433,656.16                    |
|      | Q3 | 1,871  | 104,265.78                  | 520,050.32                    |
|      | Q4 | 1,630  | 56,424.40                   | 503,357.75                    |
| 2016 | Q1 | 1,613  | 48,512.71                   | 379,212.60                    |

## New Listings Callable Bull/Bear Contracts Statistics

|      |    | No. of newly listed CBBC | Amount raised (HK\$ mil.) |
|------|----|--------------------------|---------------------------|
| 2015 | Q1 | 2,287                    | 101,545.07                |
|      | Q2 | 3,066                    | 133,613.20                |
|      | Q3 | 3,799                    | 161,333.51                |
|      | Q4 | 2,061                    | 87,034.75                 |
| 2016 | Q1 | 2,421                    | 94,755.60                 |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

## Newly Listed Callable Bull/Bear Contracts

for 1st quarter 2016

| Code  | Callable Bull/Bear Contracts                             | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 65066 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Sep 2016 F | 250,000,000          | 2016/01/04   | 2016/09/29 | 62.50                     |
| 65060 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Apr 2016 M | 200,000,000          | 2016/01/04   | 2016/04/28 | 50.00                     |
| 65082 | Credit Suisse AG – HSCEI R Bull CBBC Nov 2016 A          | 100,000,000          | 2016/01/04   | 2016/11/29 | 25.00                     |
| 65089 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 J            | 200,000,000          | 2016/01/04   | 2016/11/29 | 50.00                     |
| 65092 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 K            | 200,000,000          | 2016/01/04   | 2016/11/29 | 50.00                     |
| 65065 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 U            | 200,000,000          | 2016/01/04   | 2016/04/28 | 50.00                     |
| 64867 | HK Bank – ABC R Bull CBBC Nov 2016 D                     | 50,000,000           | 2016/01/04   | 2016/11/14 | 12.50                     |
| 64863 | HK Bank – ABC R Bull CBBC Dec 2016 B                     | 50,000,000           | 2016/01/04   | 2016/12/12 | 12.50                     |
| 64871 | HK Bank – ABC R Bear CBBC Oct 2016 A                     | 40,000,000           | 2016/01/04   | 2016/10/03 | 10.00                     |
| 64795 | HK Bank – AIA R Bull CBBC Nov 2016 C                     | 40,000,000           | 2016/01/04   | 2016/11/14 | 35.20                     |
| 64879 | HK Bank – AIA R Bull CBBC Nov 2016 D                     | 40,000,000           | 2016/01/04   | 2016/11/07 | 26.00                     |
| 64801 | HK Bank – AIA R Bear CBBC Dec 2016 B                     | 40,000,000           | 2016/01/04   | 2016/12/05 | 32.40                     |
| 64579 | HK Bank – CAM CSI300 R Bull CBBC Nov 2016 B              | 50,000,000           | 2016/01/04   | 2016/11/07 | 32.00                     |
| 64589 | HK Bank – CAM CSI300 R Bull CBBC Dec 2016 C              | 50,000,000           | 2016/01/04   | 2016/12/05 | 51.50                     |
| 64741 | HK Bank – BOCL R Bull CBBC Oct 2016 B                    | 50,000,000           | 2016/01/04   | 2016/10/31 | 12.50                     |
| 64755 | HK Bank – BOCL R Bull CBBC Nov 2016 D                    | 50,000,000           | 2016/01/04   | 2016/11/28 | 12.50                     |
| 64756 | HK Bank – BOCL R Bear CBBC Dec 2016 A                    | 40,000,000           | 2016/01/04   | 2016/12/19 | 10.00                     |
| 64845 | HK Bank – China Mobile R Bull CBBC Oct 2016 I            | 50,000,000           | 2016/01/04   | 2016/10/31 | 12.50                     |
| 64846 | HK Bank – China Mobile R Bull CBBC Dec 2016 C            | 50,000,000           | 2016/01/04   | 2016/12/05 | 12.50                     |
| 64850 | HK Bank – China Mobile R Bull CBBC Dec 2016 D            | 50,000,000           | 2016/01/04   | 2016/12/12 | 12.50                     |
| 64857 | HK Bank – China Mobile R Bear CBBC Jul 2016 D            | 40,000,000           | 2016/01/04   | 2016/07/25 | 10.00                     |
| 64861 | HK Bank – China Mobile R Bear CBBC Nov 2016 B            | 40,000,000           | 2016/01/04   | 2016/11/14 | 10.00                     |
| 65012 | HK Bank – COVS R Bull CBBC Dec 2016 A                    | 40,000,000           | 2016/01/04   | 2016/12/05 | 21.20                     |
| 64886 | HK Bank – CC Bank R Bull CBBC Dec 2016 G                 | 50,000,000           | 2016/01/04   | 2016/12/30 | 12.50                     |
| 64887 | HK Bank – CC Bank R Bull CBBC Dec 2016 H                 | 50,000,000           | 2016/01/04   | 2016/12/28 | 12.50                     |
| 64894 | HK Bank – CC Bank R Bull CBBC Jan 2017 A                 | 50,000,000           | 2016/01/04   | 2017/01/09 | 12.50                     |
| 64905 | HK Bank – CC Bank R Bear CBBC Sep 2016 B                 | 40,000,000           | 2016/01/04   | 2016/09/19 | 10.00                     |
| 64909 | HK Bank – CC Bank R Bear CBBC Sep 2016 C                 | 40,000,000           | 2016/01/04   | 2016/09/26 | 10.00                     |
| 65032 | HK Bank – CITIC R Bull CBBC Nov 2016 B                   | 40,000,000           | 2016/01/04   | 2016/11/21 | 10.40                     |
| 64703 | HK Bank – CITIC Sec R Bull CBBC Nov 2016 A               | 40,000,000           | 2016/01/04   | 2016/11/07 | 21.20                     |
| 64710 | HK Bank – CITIC Sec R Bull CBBC Nov 2016 B               | 40,000,000           | 2016/01/04   | 2016/11/28 | 25.20                     |
| 65046 | HK Bank – CKH R Bull CBBC Nov 2016 B                     | 40,000,000           | 2016/01/04   | 2016/11/14 | 10.00                     |
| 64862 | HK Bank – CKP R Bull CBBC Nov 2016 B                     | 40,000,000           | 2016/01/04   | 2016/11/14 | 10.00                     |
| 64780 | HK Bank – China Life R Bull CBBC Oct 2016 B              | 50,000,000           | 2016/01/04   | 2016/10/24 | 22.50                     |
| 64781 | HK Bank – China Life R Bull CBBC Oct 2016 C              | 50,000,000           | 2016/01/04   | 2016/10/31 | 27.50                     |
| 64730 | HK Bank – China Life R Bull CBBC Nov 2016 B              | 50,000,000           | 2016/01/04   | 2016/11/07 | 32.50                     |
| 64734 | HK Bank – China Life R Bear CBBC Dec 2016 A              | 40,000,000           | 2016/01/04   | 2016/12/19 | 15.60                     |
| 64740 | HK Bank – CM Bank R Bull CBBC Dec 2016 B                 | 40,000,000           | 2016/01/04   | 2016/12/05 | 15.60                     |
| 64932 | HK Bank – CNOOC R Bull CBBC Nov 2016 H                   | 50,000,000           | 2016/01/04   | 2016/11/07 | 12.50                     |
| 64960 | HK Bank – CNOOC R Bull CBBC Nov 2016 I                   | 50,000,000           | 2016/01/04   | 2016/11/30 | 12.50                     |
| 64884 | HK Bank – CNOOC R Bear CBBC Jul 2016 B                   | 40,000,000           | 2016/01/04   | 2016/07/25 | 10.00                     |
| 65035 | HK Bank – Sinopec Corp R Bull CBBC Nov 2016 E            | 50,000,000           | 2016/01/04   | 2016/11/07 | 12.50                     |
| 65036 | HK Bank – Sinopec Corp R Bull CBBC Dec 2016 D            | 50,000,000           | 2016/01/04   | 2016/12/19 | 12.50                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                  | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|---|----------------------|--------------|------------|---------------------------|
| 65038 | HK Bank – Sinopec Corp R Bear CBBC Nov 2016 B | 40,000,000           | 2016/01/04   | 2016/11/14 | 10.00                     |
| 65039 | HK Bank – Sinopec Corp R Bear CBBC Nov 2016 C | 40,000,000           | 2016/01/04   | 2016/11/21 | 10.00                     |
| 64826 | HK Bank – CRRC R Bull CBBC Dec 2016 B         | 40,000,000           | 2016/01/04   | 2016/12/30 | 10.00                     |
| 64698 | HK Bank – CSOP A50 ETF R Bull CBBC Feb 2017 A | 50,000,000           | 2016/01/04   | 2017/02/27 | 12.50                     |
| 64726 | HK Bank – CSOP A50 ETF R Bull CBBC Feb 2017 B | 50,000,000           | 2016/01/04   | 2017/02/22 | 12.50                     |
| 64699 | HK Bank – CSOP A50 ETF R Bull CBBC Mar 2017 A | 50,000,000           | 2016/01/04   | 2017/03/13 | 12.50                     |
| 64701 | HK Bank – CSOP A50 ETF R Bull CBBC Mar 2017 B | 50,000,000           | 2016/01/04   | 2017/03/20 | 13.00                     |
| 64702 | HK Bank – CSOP A50 ETF R Bull CBBC Mar 2017 C | 50,000,000           | 2016/01/04   | 2017/03/06 | 14.50                     |
| 64619 | HK Bank – CSOP A50 ETF R Bear CBBC Feb 2017 A | 40,000,000           | 2016/01/04   | 2017/02/27 | 11.60                     |
| 64625 | HK Bank – CSOP A50 ETF R Bear CBBC Feb 2017 B | 40,000,000           | 2016/01/04   | 2017/02/20 | 10.00                     |
| 64595 | HK Bank – A50 R Bull CBBC Feb 2017 A          | 50,000,000           | 2016/01/04   | 2017/02/27 | 12.50                     |
| 64627 | HK Bank – A50 R Bull CBBC Feb 2017 B          | 50,000,000           | 2016/01/04   | 2017/02/27 | 12.50                     |
| 64697 | HK Bank – A50 R Bull CBBC Feb 2017 C          | 50,000,000           | 2016/01/04   | 2017/02/22 | 12.50                     |
| 64608 | HK Bank – A50 R Bull CBBC Mar 2017 A          | 50,000,000           | 2016/01/04   | 2017/03/06 | 12.50                     |
| 64632 | HK Bank – A50 R Bull CBBC Mar 2017 B          | 50,000,000           | 2016/01/04   | 2017/03/06 | 12.50                     |
| 64691 | HK Bank – A50 R Bull CBBC Mar 2017 C          | 50,000,000           | 2016/01/04   | 2017/03/13 | 12.50                     |
| 64610 | HK Bank – A50 R Bear CBBC Oct 2016 C          | 40,000,000           | 2016/01/04   | 2016/10/24 | 10.00                     |
| 64615 | HK Bank – A50 R Bear CBBC Jan 2017 A          | 40,000,000           | 2016/01/04   | 2017/01/16 | 10.00                     |
| 65029 | HK Bank – Galaxy Ent R Bull CBBC Nov 2016 E   | 40,000,000           | 2016/01/04   | 2016/11/14 | 15.20                     |
| 65030 | HK Bank – Galaxy Ent R Bull CBBC Nov 2016 F   | 40,000,000           | 2016/01/04   | 2016/11/28 | 23.20                     |
| 65031 | HK Bank – Galaxy Ent R Bear CBBC Nov 2016 C   | 40,000,000           | 2016/01/04   | 2016/11/14 | 22.00                     |
| 65015 | HK Bank – HKEX R Bull CBBC Oct 2016 P         | 50,000,000           | 2016/01/04   | 2016/10/03 | 16.50                     |
| 65016 | HK Bank – HKEX R Bull CBBC Oct 2016 Q         | 50,000,000           | 2016/01/04   | 2016/10/17 | 18.50                     |
| 65024 | HK Bank – HKEX R Bull CBBC Oct 2016 R         | 50,000,000           | 2016/01/04   | 2016/10/24 | 22.00                     |
| 64997 | HK Bank – HKEX R Bull CBBC Nov 2016 E         | 50,000,000           | 2016/01/04   | 2016/11/28 | 24.50                     |
| 64999 | HK Bank – HKEX R Bear CBBC Oct 2016 A         | 40,000,000           | 2016/01/04   | 2016/10/24 | 23.20                     |
| 65002 | HK Bank – HKEX R Bear CBBC Oct 2016 B         | 40,000,000           | 2016/01/04   | 2016/10/31 | 15.60                     |
| 65003 | HK Bank – HKEX R Bear CBBC Nov 2016 A         | 40,000,000           | 2016/01/04   | 2016/11/07 | 19.60                     |
| 64577 | HK Bank – HS H-SH ETF R Bull CBBC Feb 2017 A  | 50,000,000           | 2016/01/04   | 2017/02/27 | 12.50                     |
| 64617 | HK Bank – HS H-SH ETF R Bull CBBC Feb 2017 B  | 50,000,000           | 2016/01/04   | 2017/02/20 | 12.50                     |
| 64578 | HK Bank – HS H-SH ETF R Bear CBBC Feb 2017 A  | 40,000,000           | 2016/01/04   | 2017/02/20 | 10.00                     |
| 64542 | HK Bank – HSCEI R Bull CBBC Oct 2016 J        | 60,000,000           | 2016/01/04   | 2016/10/28 | 15.00                     |
| 64593 | HK Bank – HSCEI R Bull CBBC Oct 2016 K        | 60,000,000           | 2016/01/04   | 2016/10/28 | 15.00                     |
| 64525 | HK Bank – HSCEI R Bull CBBC Nov 2016 E        | 60,000,000           | 2016/01/04   | 2016/11/29 | 15.00                     |
| 64543 | HK Bank – HSCEI R Bull CBBC Nov 2016 F        | 60,000,000           | 2016/01/04   | 2016/11/29 | 15.00                     |
| 64557 | HK Bank – HSCEI R Bull CBBC Dec 2016 E        | 60,000,000           | 2016/01/04   | 2016/12/29 | 15.00                     |
| 64564 | HK Bank – HSCEI R Bull CBBC Dec 2016 F        | 60,000,000           | 2016/01/04   | 2016/12/29 | 15.00                     |
| 64566 | HK Bank – HSCEI R Bear CBBC Aug 2016 G        | 50,000,000           | 2016/01/04   | 2016/08/30 | 12.50                     |
| 64568 | HK Bank – HSCEI R Bear CBBC Oct 2016 D        | 50,000,000           | 2016/01/04   | 2016/10/28 | 12.50                     |
| 64572 | HK Bank – HSCEI R Bear CBBC Nov 2016 A        | 50,000,000           | 2016/01/04   | 2016/11/29 | 12.50                     |
| 64575 | HK Bank – HSCEI R Bear CBBC Dec 2016 A        | 50,000,000           | 2016/01/04   | 2016/12/29 | 12.50                     |
| 64711 | HK Bank – Haitong Sec R Bull CBBC Oct 2016 C  | 40,000,000           | 2016/01/04   | 2016/10/17 | 16.40                     |
| 64820 | HK Bank – ICBC R Bull CBBC Oct 2016 A         | 50,000,000           | 2016/01/04   | 2016/10/17 | 12.50                     |
| 64814 | HK Bank – ICBC R Bull CBBC Nov 2016 A         | 50,000,000           | 2016/01/04   | 2016/11/07 | 12.50                     |
| 64824 | HK Bank – ICBC R Bear CBBC Nov 2016 A         | 40,000,000           | 2016/01/04   | 2016/11/07 | 10.00                     |



# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                  | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|---|----------------------|--------------|------------|---------------------------|
| 64968 | HK Bank – PetCh R Bull CBBC Nov 2016 F                        | 50,000,000           | 2016/01/04   | 2016/11/28 | 12.50                     |
| 64971 | HK Bank – PetCh R Bull CBBC Dec 2016 G                        | 50,000,000           | 2016/01/04   | 2016/12/05 | 12.50                     |
| 64912 | HK Bank – PetCh R Bear CBBC Aug 2016 C                        | 40,000,000           | 2016/01/04   | 2016/08/01 | 10.00                     |
| 64928 | HK Bank – PetCh R Bear CBBC Nov 2016 B                        | 40,000,000           | 2016/01/04   | 2016/11/14 | 10.00                     |
| 64787 | HK Bank – Ping An R Bull CBBC Nov 2016 L                      | 50,000,000           | 2016/01/04   | 2016/11/14 | 12.50                     |
| 64788 | HK Bank – Ping An R Bull CBBC Nov 2016 M                      | 50,000,000           | 2016/01/04   | 2016/11/28 | 12.50                     |
| 64768 | HK Bank – Ping An R Bull CBBC Dec 2016 E                      | 50,000,000           | 2016/01/04   | 2016/12/30 | 12.50                     |
| 64793 | HK Bank – Ping An R Bull CBBC Dec 2016 F                      | 50,000,000           | 2016/01/04   | 2016/12/12 | 12.50                     |
| 64776 | HK Bank – Ping An R Bear CBBC Oct 2016 D                      | 40,000,000           | 2016/01/04   | 2016/10/31 | 10.00                     |
| 64770 | HK Bank – Ping An R Bear CBBC Nov 2016 A                      | 40,000,000           | 2016/01/04   | 2016/11/21 | 10.00                     |
| 64771 | HK Bank – Ping An R Bear CBBC Nov 2016 B                      | 40,000,000           | 2016/01/04   | 2016/11/07 | 10.00                     |
| 64829 | HK Bank – Sands China R Bull CBBC Nov 2016 B                  | 40,000,000           | 2016/01/04   | 2016/11/28 | 17.20                     |
| 64832 | HK Bank – Sands China R Bull CBBC Dec 2016 B                  | 40,000,000           | 2016/01/04   | 2016/12/05 | 24.40                     |
| 64839 | HK Bank – Sands China R Bull CBBC Dec 2016 C                  | 40,000,000           | 2016/01/04   | 2016/12/19 | 32.40                     |
| 64794 | HK Bank – Sands China R Bear CBBC Nov 2016 D                  | 40,000,000           | 2016/01/04   | 2016/11/14 | 16.40                     |
| 64785 | HK Bank – Sands China R Bear CBBC Dec 2016 C                  | 40,000,000           | 2016/01/04   | 2016/12/12 | 22.40                     |
| 65028 | HK Bank – SHK Ppt R Bull CBBC Jan 2017 A                      | 40,000,000           | 2016/01/04   | 2017/01/16 | 10.00                     |
| 65013 | HK Bank – TCH R Bull CBBC Oct 2016 D                          | 50,000,000           | 2016/01/04   | 2016/10/31 | 12.50                     |
| 64970 | HK Bank – TCH R Bull CBBC Nov 2016 B                          | 50,000,000           | 2016/01/04   | 2016/11/14 | 12.50                     |
| 64976 | HK Bank – TCH R Bull CBBC Nov 2016 C                          | 50,000,000           | 2016/01/04   | 2016/11/21 | 13.50                     |
| 64984 | HK Bank – TCH R Bull CBBC Nov 2016 D                          | 50,000,000           | 2016/01/04   | 2016/11/28 | 14.50                     |
| 65014 | HK Bank – TCH R Bull CBBC Nov 2016 E                          | 50,000,000           | 2016/01/04   | 2016/11/07 | 12.50                     |
| 64986 | HK Bank – TCH R Bull CBBC Dec 2016 B                          | 50,000,000           | 2016/01/04   | 2016/12/05 | 17.50                     |
| 64989 | HK Bank – TCH R Bear CBBC Oct 2016 D                          | 40,000,000           | 2016/01/04   | 2016/10/17 | 12.40                     |
| 64991 | HK Bank – TCH R Bear CBBC Oct 2016 E                          | 40,000,000           | 2016/01/04   | 2016/10/24 | 10.00                     |
| 64994 | HK Bank – TCH R Bear CBBC Oct 2016 F                          | 40,000,000           | 2016/01/04   | 2016/10/31 | 10.40                     |
| 64963 | HK Bank – TCH R Bear CBBC Nov 2016 A                          | 40,000,000           | 2016/01/04   | 2016/11/07 | 14.00                     |
| 65079 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 M                 | 200,000,000          | 2016/01/04   | 2016/12/29 | 50.00                     |
| 65081 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 P                 | 200,000,000          | 2016/01/04   | 2017/01/26 | 50.00                     |
| 65058 | J P Morgan SP BV – HSI R Bear CBBC Apr 2016 J                 | 200,000,000          | 2016/01/04   | 2016/04/28 | 50.00                     |
| 65073 | J P Morgan SP BV – HSI R Bear CBBC Apr 2016 L                 | 150,000,000          | 2016/01/04   | 2016/04/28 | 37.50                     |
| 65052 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16B | 200,000,000          | 2016/01/04   | 2016/10/28 | 50.00                     |
| 65055 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16T | 200,000,000          | 2016/01/04   | 2016/06/29 | 50.00                     |
| 65067 | UBS AG – HSI R Bull CBBC Dec 2016 F                           | 200,000,000          | 2016/01/04   | 2016/12/29 | 50.00                     |
| 65070 | UBS AG – HSI R Bull CBBC Feb 2017 C                           | 200,000,000          | 2016/01/04   | 2017/02/27 | 50.00                     |
| 65061 | UBS AG – HSI R Bear CBBC Apr 2016 E                           | 200,000,000          | 2016/01/04   | 2016/04/28 | 50.00                     |
| 65123 | Credit Suisse AG – China Life R Bull CBBC Aug 2016 A          | 50,000,000           | 2016/01/05   | 2016/08/31 | 14.50                     |
| 65105 | Credit Suisse AG – CSOP A50 ETF R Bull CBBC Aug 2016 B        | 100,000,000          | 2016/01/05   | 2016/08/31 | 25.00                     |
| 65106 | Credit Suisse AG – A50 China R Bull CBBC Aug 2016 B           | 100,000,000          | 2016/01/05   | 2016/08/31 | 25.00                     |
| 65108 | Credit Suisse AG – HS H-SH ETF R Bull CBBC Aug 2016 A         | 80,000,000           | 2016/01/05   | 2016/08/31 | 20.00                     |
| 65104 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 V                 | 200,000,000          | 2016/01/05   | 2016/09/29 | 50.00                     |
| 65131 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 W                 | 200,000,000          | 2016/01/05   | 2016/09/29 | 50.00                     |
| 65137 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 D                 | 200,000,000          | 2016/01/05   | 2016/04/28 | 50.00                     |
| 65135 | Credit Suisse AG – HSI R Bear CBBC May 2016 D                 | 200,000,000          | 2016/01/05   | 2016/05/30 | 50.00                     |
| 65124 | Credit Suisse AG – ICBC R Bull CBBC Oct 2016 A                | 70,000,000           | 2016/01/05   | 2016/10/28 | 17.50                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 65121 | Credit Suisse AG – Ping An R Bull CBBC Oct 2016 A              | 80,000,000           | 2016/01/05   | 2016/10/28 | 20.00                     |
| 65120 | Credit Suisse AG – TCH R Bull CBBC Aug 2016 A                  | 100,000,000          | 2016/01/05   | 2016/08/31 | 25.00                     |
| 65139 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 C                  | 200,000,000          | 2016/01/05   | 2016/11/29 | 50.00                     |
| 65150 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 Q                  | 150,000,000          | 2016/01/05   | 2017/01/26 | 37.50                     |
| 65151 | J P Morgan SP BV – HSI R Bear CBBC Apr 2016 K                  | 200,000,000          | 2016/01/05   | 2016/04/28 | 50.00                     |
| 65101 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16B  | 200,000,000          | 2016/01/05   | 2016/11/29 | 50.00                     |
| 65102 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16X  | 200,000,000          | 2016/01/05   | 2016/04/28 | 50.00                     |
| 65142 | UBS AG – HSI R Bull CBBC Dec 2016 H                            | 200,000,000          | 2016/01/05   | 2016/12/29 | 50.00                     |
| 65143 | UBS AG – HSI R Bear CBBC Apr 2016 F                            | 200,000,000          | 2016/01/05   | 2016/04/28 | 50.00                     |
| 65148 | UBS AG – HSI R Bear CBBC Apr 2016 G                            | 200,000,000          | 2016/01/05   | 2016/04/28 | 50.00                     |
| 65172 | Credit Suisse AG – HSI R Bull CBBC Aug 2016 D                  | 200,000,000          | 2016/01/06   | 2016/08/30 | 50.00                     |
| 65160 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 F                  | 200,000,000          | 2016/01/06   | 2016/04/28 | 50.00                     |
| 65157 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 E                  | 200,000,000          | 2016/01/06   | 2016/06/29 | 50.00                     |
| 65174 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 F                  | 150,000,000          | 2016/01/06   | 2016/12/29 | 37.50                     |
| 65177 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 R                  | 200,000,000          | 2016/01/06   | 2017/01/26 | 50.00                     |
| 65178 | J P Morgan SP BV – HSI R Bear CBBC Apr 2016 B                  | 200,000,000          | 2016/01/06   | 2016/04/28 | 50.00                     |
| 65152 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jul16R  | 200,000,000          | 2016/01/06   | 2016/07/28 | 50.00                     |
| 65156 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16I  | 200,000,000          | 2016/01/06   | 2016/04/28 | 50.00                     |
| 65169 | UBS AG – HSCEI R Bull CBBC Feb 2017 A                          | 200,000,000          | 2016/01/06   | 2017/02/27 | 50.00                     |
| 65170 | UBS AG – HSI R Bull CBBC Dec 2016 G                            | 200,000,000          | 2016/01/06   | 2016/12/29 | 50.00                     |
| 65161 | UBS AG – HSI R Bear CBBC Apr 2016 H                            | 200,000,000          | 2016/01/06   | 2016/04/28 | 50.00                     |
| 65212 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Sep 2016 G       | 250,000,000          | 2016/01/07   | 2016/09/29 | 62.50                     |
| 65230 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 Q                  | 200,000,000          | 2016/01/07   | 2016/11/29 | 50.00                     |
| 65231 | Credit Suisse AG – HSI R Bear CBBC May 2016 E                  | 200,000,000          | 2016/01/07   | 2016/05/30 | 50.00                     |
| 65203 | HK Bank – AIA R Bull CBBC Oct 2016 F                           | 40,000,000           | 2016/01/07   | 2016/10/31 | 16.40                     |
| 65201 | HK Bank – China Mobile R Bull CBBC Oct 2016 J                  | 50,000,000           | 2016/01/07   | 2016/10/27 | 12.50                     |
| 65207 | HK Bank – CSOP A50 ETF R Bull CBBC Mar 2017 D                  | 50,000,000           | 2016/01/07   | 2017/03/06 | 12.50                     |
| 65184 | HK Bank – HKEX R Bull CBBC Oct 2016 S                          | 50,000,000           | 2016/01/07   | 2016/10/26 | 12.50                     |
| 65209 | HK Bank – HSCEI R Bull CBBC Nov 2016 G                         | 60,000,000           | 2016/01/07   | 2016/11/29 | 15.00                     |
| 65208 | HK Bank – HSCEI R Bull CBBC Dec 2016 G                         | 60,000,000           | 2016/01/07   | 2016/12/29 | 15.00                     |
| 65210 | HK Bank – HSCEI R Bear CBBC Nov 2016 B                         | 50,000,000           | 2016/01/07   | 2016/11/29 | 12.50                     |
| 65195 | HK Bank – PetCh R Bull CBBC Nov 2016 G                         | 50,000,000           | 2016/01/07   | 2016/11/21 | 12.50                     |
| 65188 | HK Bank – TCH R Bull CBBC Oct 2016 E                           | 50,000,000           | 2016/01/07   | 2016/10/24 | 12.50                     |
| 65229 | J P Morgan SP BV – HSI R Bear CBBC May 2016 C                  | 200,000,000          | 2016/01/07   | 2016/05/30 | 50.00                     |
| 65215 | SGA Societe Generale Acceptance N.V. – AIA R Bull CBBC Sep16A  | 100,000,000          | 2016/01/07   | 2016/09/29 | 25.00                     |
| 65218 | SGA Societe Generale Acceptance N.V. – CMob R Bull CBBC Jul16A | 100,000,000          | 2016/01/07   | 2016/07/28 | 25.00                     |
| 65216 | SGA Societe Generale Acceptance N.V. – CMob R Bull CBBC Oct16A | 100,000,000          | 2016/01/07   | 2016/10/28 | 25.00                     |
| 65221 | SGA Societe Generale Acceptance N.V. – HKEX R Bull CBBC Jun16A | 100,000,000          | 2016/01/07   | 2016/06/29 | 25.00                     |
| 65220 | SGA Societe Generale Acceptance N.V. – HKEX R Bull CBBC Oct16A | 100,000,000          | 2016/01/07   | 2016/10/28 | 25.00                     |
| 65219 | SGA Societe Generale Acceptance N.V. – HKEX R Bull CBBC Feb17A | 100,000,000          | 2016/01/07   | 2017/02/27 | 35.00                     |
| 65214 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16U  | 200,000,000          | 2016/01/07   | 2016/06/29 | 50.00                     |
| 65224 | SGA Societe Generale Acceptance NV – PingAn R Bull CBBC Oct16A | 100,000,000          | 2016/01/07   | 2016/10/28 | 25.00                     |
| 65223 | SGA Societe Generale Acceptance NV – PingAn R Bull CBBC Feb17A | 100,000,000          | 2016/01/07   | 2017/02/27 | 25.00                     |
| 65226 | UBS AG – HSI R Bear CBBC Apr 2016 I                            | 200,000,000          | 2016/01/07   | 2016/04/28 | 50.00                     |
| 65232 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 N       | 200,000,000          | 2016/01/08   | 2016/05/30 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 65237 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 M                  | 200,000,000          | 2016/01/08   | 2016/11/29 | 50.00                     |
| 65238 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 M                  | 200,000,000          | 2016/01/08   | 2016/04/28 | 50.00                     |
| 65247 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 N                  | 150,000,000          | 2016/01/08   | 2016/12/29 | 37.50                     |
| 65263 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 S                  | 150,000,000          | 2016/01/08   | 2017/01/26 | 37.50                     |
| 65233 | J P Morgan SP BV – HSI R Bear CBBC Apr 2016 I                  | 150,000,000          | 2016/01/08   | 2016/04/28 | 37.50                     |
| 65234 | J P Morgan SP BV – HSI R Bear CBBC Apr 2016 T                  | 150,000,000          | 2016/01/08   | 2016/04/28 | 37.50                     |
| 65306 | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC May 2016 D     | 100,000,000          | 2016/01/11   | 2016/05/30 | 25.00                     |
| 65272 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Sep 2016 H       | 250,000,000          | 2016/01/11   | 2016/09/29 | 62.50                     |
| 65298 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Sep 2016 I       | 250,000,000          | 2016/01/11   | 2016/09/29 | 62.50                     |
| 65269 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 X       | 250,000,000          | 2016/01/11   | 2016/10/28 | 62.50                     |
| 65277 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 Y       | 250,000,000          | 2016/01/11   | 2016/10/28 | 62.50                     |
| 65278 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 Z       | 250,000,000          | 2016/01/11   | 2016/10/28 | 62.50                     |
| 65305 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Apr 2016 I       | 200,000,000          | 2016/01/11   | 2016/04/28 | 50.00                     |
| 65535 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Apr 2016 R       | 200,000,000          | 2016/01/11   | 2016/04/28 | 50.00                     |
| 65300 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 O       | 200,000,000          | 2016/01/11   | 2016/05/30 | 50.00                     |
| 65301 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 P       | 200,000,000          | 2016/01/11   | 2016/05/30 | 50.00                     |
| 65342 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 T                  | 200,000,000          | 2016/01/11   | 2016/10/28 | 50.00                     |
| 65349 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 X                  | 200,000,000          | 2016/01/11   | 2016/10/28 | 50.00                     |
| 65352 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 Y                  | 200,000,000          | 2016/01/11   | 2016/10/28 | 50.00                     |
| 65355 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 Z                  | 200,000,000          | 2016/01/11   | 2016/10/28 | 50.00                     |
| 65438 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 N                  | 200,000,000          | 2016/01/11   | 2016/04/28 | 50.00                     |
| 65449 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 P                  | 200,000,000          | 2016/01/11   | 2016/04/28 | 50.00                     |
| 65465 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 S                  | 200,000,000          | 2016/01/11   | 2016/04/28 | 50.00                     |
| 65475 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 W                  | 200,000,000          | 2016/01/11   | 2016/04/28 | 50.00                     |
| 65537 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 I           | 200,000,000          | 2016/01/11   | 2016/04/28 | 50.00                     |
| 65553 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 J           | 200,000,000          | 2016/01/11   | 2016/04/28 | 50.00                     |
| 65288 | J P Morgan SP BV – HSCEI R Bull CBBC Dec 2016 G                | 100,000,000          | 2016/01/11   | 2016/12/29 | 25.00                     |
| 65508 | J P Morgan SP BV – HSCEI R Bear CBBC Apr 2016 D                | 100,000,000          | 2016/01/11   | 2016/04/28 | 25.00                     |
| 65518 | J P Morgan SP BV – HSCEI R Bear CBBC Apr 2016 E                | 100,000,000          | 2016/01/11   | 2016/04/28 | 25.00                     |
| 65477 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 K                  | 200,000,000          | 2016/01/11   | 2016/12/29 | 50.00                     |
| 65284 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 O                  | 200,000,000          | 2016/01/11   | 2016/12/29 | 50.00                     |
| 65279 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 Q                  | 200,000,000          | 2016/01/11   | 2016/12/29 | 50.00                     |
| 65476 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 Z                  | 200,000,000          | 2016/01/11   | 2016/12/29 | 50.00                     |
| 65282 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 T                  | 200,000,000          | 2016/01/11   | 2017/01/26 | 50.00                     |
| 65488 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 U                  | 200,000,000          | 2016/01/11   | 2017/01/26 | 50.00                     |
| 65490 | J P Morgan SP BV – HSI R Bear CBBC May 2016 D                  | 200,000,000          | 2016/01/11   | 2016/05/30 | 50.00                     |
| 65495 | J P Morgan SP BV – HSI R Bear CBBC May 2016 E                  | 200,000,000          | 2016/01/11   | 2016/05/30 | 50.00                     |
| 65498 | J P Morgan SP BV – HSI R Bear CBBC May 2016 F                  | 200,000,000          | 2016/01/11   | 2016/05/30 | 50.00                     |
| 65499 | J P Morgan SP BV – HSI R Bear CBBC May 2016 G                  | 200,000,000          | 2016/01/11   | 2016/05/30 | 50.00                     |
| 65264 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 C | 200,000,000          | 2016/01/11   | 2016/10/28 | 50.00                     |
| 65268 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 D | 200,000,000          | 2016/01/11   | 2016/10/28 | 50.00                     |
| 65267 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 C | 200,000,000          | 2016/01/11   | 2016/11/29 | 50.00                     |
| 65289 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 D | 200,000,000          | 2016/01/11   | 2016/11/29 | 50.00                     |
| 65294 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 E | 200,000,000          | 2016/01/11   | 2016/04/28 | 50.00                     |
| 65292 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 K | 200,000,000          | 2016/01/11   | 2016/05/30 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 65293 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 A | 200,000,000          | 2016/01/11   | 2016/06/29 | 50.00                     |
| 65314 | UBS AG – CAM CSI300 R Bull CBBC Oct 2016 D                     | 100,000,000          | 2016/01/11   | 2016/10/03 | 25.00                     |
| 65333 | UBS AG – China Mobile R Bull CBBC Oct 2016 D                   | 50,000,000           | 2016/01/11   | 2016/10/31 | 12.50                     |
| 65323 | UBS AG – CSOP A50 ETF R Bull CBBC Oct 2016 A                   | 50,000,000           | 2016/01/11   | 2016/10/17 | 12.50                     |
| 65316 | UBS AG – A50 China R Bull CBBC Oct 2016 A                      | 50,000,000           | 2016/01/11   | 2016/10/24 | 12.50                     |
| 65312 | UBS AG – HSCEI R Bear CBBC Apr 2016 A                          | 100,000,000          | 2016/01/11   | 2016/04/28 | 25.00                     |
| 65308 | UBS AG – HSI R Bull CBBC Nov 2016 O                            | 200,000,000          | 2016/01/11   | 2016/11/29 | 50.00                     |
| 65310 | UBS AG – HSI R Bull CBBC Nov 2016 P                            | 200,000,000          | 2016/01/11   | 2016/11/29 | 50.00                     |
| 65313 | UBS AG – HSI R Bull CBBC Nov 2016 Q                            | 200,000,000          | 2016/01/11   | 2016/11/29 | 50.00                     |
| 65309 | UBS AG – HSI R Bull CBBC Dec 2016 J                            | 200,000,000          | 2016/01/11   | 2016/12/29 | 50.00                     |
| 65311 | UBS AG – HSI R Bull CBBC Dec 2016 K                            | 200,000,000          | 2016/01/11   | 2016/12/29 | 50.00                     |
| 65375 | UBS AG – HSI R Bear CBBC Apr 2016 J                            | 200,000,000          | 2016/01/11   | 2016/04/28 | 50.00                     |
| 65415 | UBS AG – HSI R Bear CBBC Apr 2016 K                            | 200,000,000          | 2016/01/11   | 2016/04/28 | 50.00                     |
| 65376 | UBS AG – HSI R Bear CBBC May 2016 A                            | 200,000,000          | 2016/01/11   | 2016/05/30 | 50.00                     |
| 65341 | UBS AG – Ping An R Bull CBBC Oct 2016 E                        | 100,000,000          | 2016/01/11   | 2016/10/24 | 25.00                     |
| 65647 | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC Apr 2016 L     | 100,000,000          | 2016/01/12   | 2016/04/28 | 25.00                     |
| 65633 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Sep 2016 J       | 250,000,000          | 2016/01/12   | 2016/09/29 | 62.50                     |
| 65640 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 B       | 250,000,000          | 2016/01/12   | 2016/10/28 | 62.50                     |
| 65715 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Apr 2016 T       | 200,000,000          | 2016/01/12   | 2016/04/28 | 50.00                     |
| 65641 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Apr 2016 V       | 200,000,000          | 2016/01/12   | 2016/04/28 | 50.00                     |
| 65717 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 Q       | 200,000,000          | 2016/01/12   | 2016/05/30 | 50.00                     |
| 65650 | Credit Suisse AG – China Mobile R Bull CBBC Oct 2016 A         | 80,000,000           | 2016/01/12   | 2016/10/28 | 20.00                     |
| 65656 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 X                  | 200,000,000          | 2016/01/12   | 2016/09/29 | 50.00                     |
| 65657 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 Y                  | 200,000,000          | 2016/01/12   | 2016/09/29 | 50.00                     |
| 65660 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 Z                  | 200,000,000          | 2016/01/12   | 2016/09/29 | 50.00                     |
| 65692 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 Y                  | 200,000,000          | 2016/01/12   | 2016/04/28 | 50.00                     |
| 65665 | Credit Suisse AG – HSI R Bear CBBC May 2016 F                  | 200,000,000          | 2016/01/12   | 2016/05/30 | 50.00                     |
| 65686 | Credit Suisse AG – HSI R Bear CBBC May 2016 K                  | 200,000,000          | 2016/01/12   | 2016/05/30 | 50.00                     |
| 65689 | Credit Suisse AG – HSI R Bear CBBC May 2016 L                  | 200,000,000          | 2016/01/12   | 2016/05/30 | 50.00                     |
| 65600 | HK Bank – AIA R Bull CBBC Nov 2016 E                           | 40,000,000           | 2016/01/12   | 2016/11/28 | 10.00                     |
| 65585 | HK Bank – CAM CSI300 R Bull CBBC Dec 2016 D                    | 50,000,000           | 2016/01/12   | 2016/12/12 | 52.50                     |
| 65588 | HK Bank – China Life R Bull CBBC Jan 2017 A                    | 50,000,000           | 2016/01/12   | 2017/01/16 | 29.00                     |
| 65571 | HK Bank – CM Bank R Bull CBBC Dec 2016 C                       | 40,000,000           | 2016/01/12   | 2016/12/28 | 17.20                     |
| 65573 | HK Bank – CSOP A50 ETF R Bull CBBC Mar 2017 E                  | 50,000,000           | 2016/01/12   | 2017/03/08 | 12.50                     |
| 65577 | HK Bank – A50 R Bull CBBC Mar 2017 D                           | 50,000,000           | 2016/01/12   | 2017/03/08 | 12.50                     |
| 65586 | HK Bank – HSCEI R Bull CBBC Nov 2016 H                         | 60,000,000           | 2016/01/12   | 2016/11/29 | 15.00                     |
| 65587 | HK Bank – HSCEI R Bear CBBC Aug 2016 H                         | 50,000,000           | 2016/01/12   | 2016/08/30 | 12.50                     |
| 65569 | HK Bank – HSI R Bear CBBC Jul 2016 G                           | 150,000,000          | 2016/01/12   | 2016/07/28 | 37.50                     |
| 65555 | HK Bank – HSI R Bear CBBC Aug 2016 M                           | 150,000,000          | 2016/01/12   | 2016/08/30 | 37.50                     |
| 65570 | HK Bank – ICBC R Bull CBBC Dec 2016 A                          | 50,000,000           | 2016/01/12   | 2016/12/28 | 12.50                     |
| 65589 | HK Bank – PetCh R Bull CBBC Jan 2017 A                         | 50,000,000           | 2016/01/12   | 2017/01/16 | 12.50                     |
| 65731 | J P Morgan SP BV – China Mobile R Bull CBBC Nov 2016 A         | 100,000,000          | 2016/01/12   | 2016/11/18 | 25.00                     |
| 65732 | J P Morgan SP BV – China Mobile R Bull CBBC Dec 2016 A         | 100,000,000          | 2016/01/12   | 2016/12/16 | 25.00                     |
| 65738 | J P Morgan SP BV – China Mobile R Bear CBBC May 2016 B         | 100,000,000          | 2016/01/12   | 2016/05/20 | 25.00                     |
| 65741 | J P Morgan SP BV – HKEX R Bear CBBC Jun 2016 B                 | 100,000,000          | 2016/01/12   | 2016/06/17 | 25.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 65722 | J P Morgan SP BV – HSCEI R Bear CBBC Apr 2016 H                | 100,000,000          | 2016/01/12   | 2016/04/28 | 25.00                     |
| 65632 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 E                  | 200,000,000          | 2016/01/12   | 2016/11/29 | 50.00                     |
| 65723 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 J                  | 200,000,000          | 2016/01/12   | 2016/11/29 | 50.00                     |
| 65725 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 R                  | 150,000,000          | 2016/01/12   | 2016/12/29 | 37.50                     |
| 65726 | J P Morgan SP BV – HSI R Bear CBBC May 2016 H                  | 200,000,000          | 2016/01/12   | 2016/05/30 | 50.00                     |
| 65727 | J P Morgan SP BV – HSI R Bear CBBC May 2016 I                  | 200,000,000          | 2016/01/12   | 2016/05/30 | 50.00                     |
| 65728 | J P Morgan SP BV – HSI R Bear CBBC May 2016 J                  | 200,000,000          | 2016/01/12   | 2016/05/30 | 50.00                     |
| 65730 | J P Morgan SP BV – HSI R Bear CBBC May 2016 K                  | 200,000,000          | 2016/01/12   | 2016/05/30 | 50.00                     |
| 65611 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 E | 200,000,000          | 2016/01/12   | 2016/10/28 | 50.00                     |
| 65629 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 L | 200,000,000          | 2016/01/12   | 2016/04/28 | 50.00                     |
| 65631 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 A | 200,000,000          | 2016/01/12   | 2016/05/30 | 50.00                     |
| 65622 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 B | 200,000,000          | 2016/01/12   | 2016/06/29 | 50.00                     |
| 65694 | UBS AG – HSI R Bull CBBC Dec 2016 L                            | 200,000,000          | 2016/01/12   | 2016/12/29 | 50.00                     |
| 65696 | UBS AG – HSI R Bull CBBC Dec 2016 M                            | 200,000,000          | 2016/01/12   | 2016/12/29 | 50.00                     |
| 65703 | UBS AG – HSI R Bear CBBC Apr 2016 L                            | 200,000,000          | 2016/01/12   | 2016/04/28 | 50.00                     |
| 65710 | UBS AG – HSI R Bear CBBC Apr 2016 M                            | 200,000,000          | 2016/01/12   | 2016/04/28 | 50.00                     |
| 65705 | UBS AG – HSI R Bear CBBC May 2016 B                            | 200,000,000          | 2016/01/12   | 2016/05/30 | 50.00                     |
| 65712 | UBS AG – HSI R Bear CBBC May 2016 C                            | 200,000,000          | 2016/01/12   | 2016/05/30 | 50.00                     |
| 65878 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 C       | 250,000,000          | 2016/01/13   | 2016/10/28 | 62.50                     |
| 65880 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Apr 2016 W       | 200,000,000          | 2016/01/13   | 2016/04/28 | 50.00                     |
| 65886 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 R       | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 66038 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 N                  | 200,000,000          | 2016/01/13   | 2016/11/29 | 50.00                     |
| 66031 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 O                  | 200,000,000          | 2016/01/13   | 2016/11/29 | 50.00                     |
| 66036 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 P                  | 200,000,000          | 2016/01/13   | 2016/11/29 | 50.00                     |
| 66057 | Credit Suisse AG – HSI R Bear CBBC May 2016 C                  | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 66067 | Credit Suisse AG – HSI R Bear CBBC May 2016 G                  | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 66068 | Credit Suisse AG – HSI R Bear CBBC May 2016 J                  | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 66051 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 F                  | 200,000,000          | 2016/01/13   | 2016/06/29 | 50.00                     |
| 66063 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 G                  | 200,000,000          | 2016/01/13   | 2016/06/29 | 50.00                     |
| 66093 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 H                  | 200,000,000          | 2016/01/13   | 2016/06/29 | 50.00                     |
| 65745 | HK Bank – ABC R Bull CBBC Nov 2016 E                           | 50,000,000           | 2016/01/13   | 2016/11/28 | 12.50                     |
| 65784 | HK Bank – BOCL R Bull CBBC Dec 2016 E                          | 50,000,000           | 2016/01/13   | 2016/12/19 | 12.50                     |
| 65773 | HK Bank – China Mobile R Bull CBBC Dec 2016 E                  | 50,000,000           | 2016/01/13   | 2016/12/05 | 12.50                     |
| 65742 | HK Bank – CNOOC R Bull CBBC Jan 2017 A                         | 50,000,000           | 2016/01/13   | 2017/01/16 | 12.50                     |
| 65795 | HK Bank – Sinopec Corp R Bull CBBC Dec 2016 E                  | 50,000,000           | 2016/01/13   | 2016/12/21 | 12.50                     |
| 65747 | HK Bank – HKEX R Bull CBBC Dec 2016 A                          | 50,000,000           | 2016/01/13   | 2016/12/19 | 24.50                     |
| 65756 | HK Bank – HKEX R Bear CBBC Oct 2016 C                          | 40,000,000           | 2016/01/13   | 2016/10/24 | 12.40                     |
| 65801 | HK Bank – HSCEI R Bull CBBC Oct 2016 L                         | 60,000,000           | 2016/01/13   | 2016/10/28 | 15.00                     |
| 65816 | HK Bank – HSCEI R Bear CBBC Sep 2016 D                         | 50,000,000           | 2016/01/13   | 2016/09/29 | 12.50                     |
| 65798 | HK Bank – HSI R Bear CBBC Sep 2016 J                           | 150,000,000          | 2016/01/13   | 2016/09/29 | 37.50                     |
| 65799 | HK Bank – HSI R Bear CBBC Nov 2016 C                           | 400,000,000          | 2016/01/13   | 2016/11/29 | 100.00                    |
| 65778 | HK Bank – TCH R Bull CBBC Jan 2017 A                           | 50,000,000           | 2016/01/13   | 2017/01/16 | 21.00                     |
| 66187 | J P Morgan SP BV – AIA R Bull CBBC Nov 2016 A                  | 60,000,000           | 2016/01/13   | 2016/11/18 | 15.00                     |
| 66202 | J P Morgan SP BV – Galaxy Ent R Bull CBBC Feb 2017 A           | 50,000,000           | 2016/01/13   | 2017/02/17 | 12.50                     |
| 66181 | J P Morgan SP BV – HKEX R Bull CBBC Nov 2016 D                 | 68,000,000           | 2016/01/13   | 2016/11/18 | 17.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 65879 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 V                  | 150,000,000          | 2016/01/13   | 2017/01/26 | 37.50                     |
| 66094 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 W                  | 150,000,000          | 2016/01/13   | 2017/01/26 | 37.50                     |
| 66146 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 X                  | 200,000,000          | 2016/01/13   | 2017/01/26 | 50.00                     |
| 66132 | J P Morgan SP BV – HSI R Bear CBBC May 2016 L                  | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 66138 | J P Morgan SP BV – HSI R Bear CBBC May 2016 M                  | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 66139 | J P Morgan SP BV – HSI R Bear CBBC May 2016 N                  | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 66142 | J P Morgan SP BV – HSI R Bear CBBC May 2016 O                  | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 66169 | J P Morgan SP BV – Tencent R Bull CBBC Oct 2016 B              | 80,000,000           | 2016/01/13   | 2016/10/21 | 20.00                     |
| 65846 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 E | 200,000,000          | 2016/01/13   | 2016/11/29 | 50.00                     |
| 66102 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 F | 200,000,000          | 2016/01/13   | 2016/11/29 | 50.00                     |
| 66107 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 G | 200,000,000          | 2016/01/13   | 2016/11/29 | 50.00                     |
| 65852 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 S | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 65869 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 T | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 65851 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 X | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 66117 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 C | 400,000,000          | 2016/01/13   | 2016/06/29 | 100.00                    |
| 66110 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 Z | 200,000,000          | 2016/01/13   | 2016/06/29 | 50.00                     |
| 66126 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 A | 400,000,000          | 2016/01/13   | 2016/07/28 | 100.00                    |
| 65900 | UBS AG – China Mobile R Bull CBBC Nov 2016 A                   | 50,000,000           | 2016/01/13   | 2016/11/14 | 12.50                     |
| 65894 | UBS AG – HSI R Bull CBBC Nov 2016 R                            | 200,000,000          | 2016/01/13   | 2016/11/29 | 50.00                     |
| 65892 | UBS AG – HSI R Bull CBBC Dec 2016 N                            | 200,000,000          | 2016/01/13   | 2016/12/29 | 50.00                     |
| 65997 | UBS AG – HSI R Bull CBBC Feb 2017 D                            | 200,000,000          | 2016/01/13   | 2017/02/27 | 54.00                     |
| 66017 | UBS AG – HSI R Bull CBBC Feb 2017 E                            | 200,000,000          | 2016/01/13   | 2017/02/27 | 50.00                     |
| 66021 | UBS AG – HSI R Bull CBBC Feb 2017 F                            | 200,000,000          | 2016/01/13   | 2017/02/27 | 50.00                     |
| 65907 | UBS AG – HSI R Bear CBBC Apr 2016 N                            | 200,000,000          | 2016/01/13   | 2016/04/28 | 50.00                     |
| 65973 | UBS AG – HSI R Bear CBBC Apr 2016 O                            | 200,000,000          | 2016/01/13   | 2016/04/28 | 50.00                     |
| 65944 | UBS AG – HSI R Bear CBBC May 2016 D                            | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 65974 | UBS AG – HSI R Bear CBBC May 2016 E                            | 200,000,000          | 2016/01/13   | 2016/05/30 | 50.00                     |
| 66801 | BNP Paribas Arbit Issu B.V. – Ch Mob R Bull CBBC Dec 2016 D    | 50,000,000           | 2016/01/14   | 2016/12/30 | 12.50                     |
| 66780 | BNP Paribas Arbit Issu B.V. – CSOP A50 ETF R Bull CBBC Sep16A  | 100,000,000          | 2016/01/14   | 2016/09/30 | 25.00                     |
| 66781 | BNP Paribas Arbit Issu B.V. – A50 R Bear CBBC Sep 2016 A       | 100,000,000          | 2016/01/14   | 2016/09/30 | 25.00                     |
| 66793 | BNP Paribas Arbit Issu B.V. – HKEX R Bull CBBC Sep 2016 G      | 40,000,000           | 2016/01/14   | 2016/09/30 | 12.40                     |
| 66719 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Nov 2016 K     | 100,000,000          | 2016/01/14   | 2016/11/29 | 25.00                     |
| 66720 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Dec 2016 K     | 100,000,000          | 2016/01/14   | 2016/12/29 | 25.00                     |
| 66770 | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC May 2016 E     | 100,000,000          | 2016/01/14   | 2016/05/30 | 25.00                     |
| 66402 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Sep 2016 K       | 250,000,000          | 2016/01/14   | 2016/09/29 | 62.50                     |
| 67173 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Sep 2016 L       | 250,000,000          | 2016/01/14   | 2016/09/29 | 62.50                     |
| 66345 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 A       | 250,000,000          | 2016/01/14   | 2016/10/28 | 62.50                     |
| 66403 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 D       | 250,000,000          | 2016/01/14   | 2016/10/28 | 62.50                     |
| 66411 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 E       | 250,000,000          | 2016/01/14   | 2016/10/28 | 62.50                     |
| 66697 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 S       | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 66703 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 T       | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 66708 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 U       | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 66706 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 B       | 200,000,000          | 2016/01/14   | 2016/06/29 | 50.00                     |
| 67193 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 C       | 200,000,000          | 2016/01/14   | 2016/06/29 | 50.00                     |
| 66949 | Credit Suisse AG – HSCEI R Bull CBBC Oct 2016 C                | 138,000,000          | 2016/01/14   | 2016/10/28 | 34.50                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                            | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|---|----------------------|--------------|------------|---------------------------|
| 66950 | Credit Suisse AG – HSCEI R Bull CBBC Nov 2016 B         | 138,000,000          | 2016/01/14   | 2016/11/29 | 34.50                     |
| 66959 | Credit Suisse AG – HSCEI R Bull CBBC Nov 2016 C         | 138,000,000          | 2016/01/14   | 2016/11/29 | 34.50                     |
| 66982 | Credit Suisse AG – HSCEI R Bull CBBC Dec 2016 A         | 138,000,000          | 2016/01/14   | 2016/12/29 | 34.50                     |
| 66996 | Credit Suisse AG – HSCEI R Bear CBBC Apr 2016 B         | 100,000,000          | 2016/01/14   | 2016/04/28 | 25.00                     |
| 66994 | Credit Suisse AG – HSCEI R Bear CBBC May 2016 B         | 100,000,000          | 2016/01/14   | 2016/05/30 | 25.00                     |
| 66911 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 O           | 200,000,000          | 2016/01/14   | 2016/10/28 | 50.00                     |
| 66806 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 P           | 200,000,000          | 2016/01/14   | 2016/10/28 | 50.00                     |
| 66859 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 Q           | 200,000,000          | 2016/01/14   | 2016/10/28 | 50.00                     |
| 66908 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 R           | 200,000,000          | 2016/01/14   | 2016/10/28 | 50.00                     |
| 66918 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 R           | 200,000,000          | 2016/01/14   | 2016/11/29 | 50.00                     |
| 66935 | Credit Suisse AG – HSI R Bull CBBC Jan 2017 A           | 200,000,000          | 2016/01/14   | 2017/01/26 | 52.00                     |
| 66945 | Credit Suisse AG – HSI R Bull CBBC Jan 2017 B           | 200,000,000          | 2016/01/14   | 2017/01/26 | 56.00                     |
| 66948 | Credit Suisse AG – HSI R Bull CBBC Jan 2017 C           | 200,000,000          | 2016/01/14   | 2017/01/26 | 72.00                     |
| 67112 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 Q           | 200,000,000          | 2016/01/14   | 2016/04/28 | 50.00                     |
| 67124 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 Z           | 200,000,000          | 2016/01/14   | 2016/04/28 | 50.00                     |
| 67093 | Credit Suisse AG – HSI R Bear CBBC May 2016 M           | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 67119 | Credit Suisse AG – HSI R Bear CBBC May 2016 N           | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 67122 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 I           | 200,000,000          | 2016/01/14   | 2016/06/29 | 50.00                     |
| 67127 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 J           | 200,000,000          | 2016/01/14   | 2016/06/29 | 50.00                     |
| 67111 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 B           | 200,000,000          | 2016/01/14   | 2016/07/28 | 50.00                     |
| 67356 | Bank of East Asia – China Mobile R Bull CBBC Feb 2017 A | 40,000,000           | 2016/01/14   | 2017/02/03 | 10.00                     |
| 67353 | Bank of East Asia – CSOP A50 ETF R Bull CBBC Jan 2017 A | 40,000,000           | 2016/01/14   | 2017/01/26 | 10.00                     |
| 67350 | Bank of East Asia – A50 China R Bull CBBC Jan 2017 A    | 40,000,000           | 2016/01/14   | 2017/01/27 | 10.00                     |
| 67348 | Bank of East Asia – HKEX R Bull CBBC Jan 2017 A         | 40,000,000           | 2016/01/14   | 2017/01/25 | 10.00                     |
| 67354 | Bank of East Asia – PetCh R Bull CBBC Dec 2016 C        | 60,000,000           | 2016/01/14   | 2016/12/07 | 15.00                     |
| 67234 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 H    | 200,000,000          | 2016/01/14   | 2016/09/29 | 51.60                     |
| 67235 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 I    | 200,000,000          | 2016/01/14   | 2016/09/29 | 53.20                     |
| 67265 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 J    | 200,000,000          | 2016/01/14   | 2016/09/29 | 54.00                     |
| 67272 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 K    | 200,000,000          | 2016/01/14   | 2016/09/29 | 56.80                     |
| 67210 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 K    | 200,000,000          | 2016/01/14   | 2016/04/28 | 50.60                     |
| 67212 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 L    | 200,000,000          | 2016/01/14   | 2016/04/28 | 55.40                     |
| 67214 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 M    | 200,000,000          | 2016/01/14   | 2016/04/28 | 61.20                     |
| 67218 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 N    | 200,000,000          | 2016/01/14   | 2016/04/28 | 64.20                     |
| 67230 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 O    | 200,000,000          | 2016/01/14   | 2016/04/28 | 70.00                     |
| 66277 | HK Bank – CC Bank R Bull CBBC Jan 2017 B                | 50,000,000           | 2016/01/14   | 2017/01/16 | 12.50                     |
| 66285 | HK Bank – CC Bank R Bear CBBC Dec 2016 A                | 40,000,000           | 2016/01/14   | 2016/12/19 | 10.00                     |
| 66205 | HK Bank – Galaxy Ent R Bull CBBC Dec 2016 D             | 40,000,000           | 2016/01/14   | 2016/12/19 | 28.80                     |
| 66546 | HK Bank – HSCEI R Bull CBBC Oct 2016 M                  | 60,000,000           | 2016/01/14   | 2016/10/28 | 18.60                     |
| 66553 | HK Bank – HSCEI R Bull CBBC Nov 2016 I                  | 60,000,000           | 2016/01/14   | 2016/11/29 | 15.00                     |
| 66556 | HK Bank – HSCEI R Bull CBBC Nov 2016 J                  | 60,000,000           | 2016/01/14   | 2016/11/29 | 15.00                     |
| 66292 | HK Bank – HSCEI R Bear CBBC Aug 2016 I                  | 50,000,000           | 2016/01/14   | 2016/08/30 | 12.50                     |
| 66537 | HK Bank – HSCEI R Bear CBBC Aug 2016 J                  | 50,000,000           | 2016/01/14   | 2016/08/30 | 12.50                     |
| 66290 | HK Bank – HSI R Bull CBBC Oct 2016 S                    | 150,000,000          | 2016/01/14   | 2016/10/28 | 37.50                     |
| 66287 | HK Bank – HSI R Bear CBBC Aug 2016 N                    | 150,000,000          | 2016/01/14   | 2016/08/30 | 37.50                     |
| 66435 | HK Bank – HSI R Bear CBBC Aug 2016 O                    | 150,000,000          | 2016/01/14   | 2016/08/30 | 37.50                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 66447 | HK Bank – HSI R Bear CBBC Oct 2016 G                           | 150,000,000          | 2016/01/14   | 2016/10/28 | 37.50                     |
| 67337 | J P Morgan SP BV – CAM CSI300 R Bull CBBC Dec 2016 A           | 100,000,000          | 2016/01/14   | 2016/12/16 | 25.00                     |
| 67339 | J P Morgan SP BV – CSOP A50 ETF R Bull CBBC Jan 2017 A         | 80,000,000           | 2016/01/14   | 2017/01/20 | 20.00                     |
| 67338 | J P Morgan SP BV – A50 China R Bull CBBC Jan 2017 A            | 80,000,000           | 2016/01/14   | 2017/01/20 | 20.00                     |
| 67315 | J P Morgan SP BV – HKEX R Bull CBBC Dec 2016 C                 | 80,000,000           | 2016/01/14   | 2016/12/16 | 20.00                     |
| 67319 | J P Morgan SP BV – HKEX R Bear CBBC Sep 2016 A                 | 68,000,000           | 2016/01/14   | 2016/09/15 | 17.00                     |
| 67329 | J P Morgan SP BV – HSBC R Bull CBBC Dec 2016 A                 | 100,000,000          | 2016/01/14   | 2016/12/16 | 25.00                     |
| 67137 | J P Morgan SP BV – HSCEI R Bull CBBC Dec 2016 H                | 100,000,000          | 2016/01/14   | 2016/12/29 | 25.00                     |
| 67143 | J P Morgan SP BV – HSCEI R Bear CBBC May 2016 B                | 100,000,000          | 2016/01/14   | 2016/05/30 | 25.00                     |
| 66419 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 F                  | 200,000,000          | 2016/01/14   | 2016/11/29 | 50.00                     |
| 66429 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 P                  | 200,000,000          | 2016/01/14   | 2016/12/29 | 50.00                     |
| 66421 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 S                  | 200,000,000          | 2016/01/14   | 2016/12/29 | 50.00                     |
| 67149 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 Y                  | 200,000,000          | 2016/01/14   | 2017/01/26 | 50.00                     |
| 67155 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 E                  | 200,000,000          | 2016/01/14   | 2017/02/27 | 50.00                     |
| 67156 | J P Morgan SP BV – HSI R Bear CBBC May 2016 P                  | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 67157 | J P Morgan SP BV – HSI R Bear CBBC May 2016 Q                  | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 67164 | J P Morgan SP BV – HSI R Bear CBBC May 2016 R                  | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 67166 | J P Morgan SP BV – HSI R Bear CBBC May 2016 S                  | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 67167 | J P Morgan SP BV – HSI R Bear CBBC May 2016 T                  | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 67291 | J P Morgan SP BV – Tencent R Bull CBBC Dec 2016 A              | 80,000,000           | 2016/01/14   | 2016/12/16 | 20.00                     |
| 67307 | J P Morgan SP BV – Tencent R Bear CBBC Dec 2016 B              | 80,000,000           | 2016/01/14   | 2016/12/16 | 20.00                     |
| 66304 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jun16 Z | 200,000,000          | 2016/01/14   | 2016/06/29 | 50.00                     |
| 66298 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 F | 200,000,000          | 2016/01/14   | 2016/10/28 | 50.00                     |
| 66306 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 G | 200,000,000          | 2016/01/14   | 2016/10/28 | 50.00                     |
| 66314 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 H | 200,000,000          | 2016/01/14   | 2016/10/28 | 50.00                     |
| 66316 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 I | 200,000,000          | 2016/01/14   | 2016/10/28 | 50.00                     |
| 66596 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 H | 200,000,000          | 2016/01/14   | 2016/04/28 | 50.00                     |
| 66573 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 Y | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 66561 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 D | 200,000,000          | 2016/01/14   | 2016/06/29 | 50.00                     |
| 66572 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 E | 200,000,000          | 2016/01/14   | 2016/06/29 | 50.00                     |
| 66558 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 F | 200,000,000          | 2016/01/14   | 2016/06/29 | 50.00                     |
| 66695 | UBS AG – HSCEI R Bull CBBC Sep 2016 F                          | 200,000,000          | 2016/01/14   | 2016/09/29 | 50.00                     |
| 66696 | UBS AG – HSCEI R Bear CBBC Apr 2016 B                          | 100,000,000          | 2016/01/14   | 2016/04/28 | 25.00                     |
| 66606 | UBS AG – HSI R Bull CBBC Nov 2016 S                            | 200,000,000          | 2016/01/14   | 2016/11/29 | 50.00                     |
| 66664 | UBS AG – HSI R Bull CBBC Nov 2016 T                            | 200,000,000          | 2016/01/14   | 2016/11/29 | 50.00                     |
| 66676 | UBS AG – HSI R Bull CBBC Nov 2016 U                            | 200,000,000          | 2016/01/14   | 2016/11/29 | 50.00                     |
| 66680 | UBS AG – HSI R Bull CBBC Nov 2016 V                            | 200,000,000          | 2016/01/14   | 2016/11/29 | 50.00                     |
| 66626 | UBS AG – HSI R Bull CBBC Dec 2016 O                            | 200,000,000          | 2016/01/14   | 2016/12/29 | 50.00                     |
| 66671 | UBS AG – HSI R Bull CBBC Dec 2016 Q                            | 200,000,000          | 2016/01/14   | 2016/12/29 | 50.00                     |
| 66600 | UBS AG – HSI R Bull CBBC Feb 2017 G                            | 200,000,000          | 2016/01/14   | 2017/02/27 | 50.00                     |
| 66681 | UBS AG – HSI R Bull CBBC Feb 2017 H                            | 200,000,000          | 2016/01/14   | 2017/02/27 | 50.00                     |
| 67000 | UBS AG – HSI R Bear CBBC Apr 2016 P                            | 200,000,000          | 2016/01/14   | 2016/04/28 | 50.00                     |
| 67065 | UBS AG – HSI R Bear CBBC Apr 2016 Q                            | 200,000,000          | 2016/01/14   | 2016/04/28 | 50.00                     |
| 67009 | UBS AG – HSI R Bear CBBC May 2016 F                            | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 67068 | UBS AG – HSI R Bear CBBC May 2016 G                            | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |



# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 67077 | UBS AG – HSI R Bear CBBC May 2016 H                            | 200,000,000          | 2016/01/14   | 2016/05/30 | 50.00                     |
| 66693 | UBS AG – Tencent R Bear CBBC Jun 2016 B                        | 50,000,000           | 2016/01/14   | 2016/06/20 | 12.50                     |
| 67562 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 D       | 200,000,000          | 2016/01/15   | 2016/06/29 | 50.00                     |
| 67566 | BNP Paribas Arbit Issu B.V. – TCH R Bull CBBC Sep 2016 D       | 50,000,000           | 2016/01/15   | 2016/09/30 | 12.50                     |
| 67608 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 S                  | 200,000,000          | 2016/01/15   | 2016/11/29 | 50.00                     |
| 67586 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 T                  | 200,000,000          | 2016/01/15   | 2016/04/28 | 50.00                     |
| 67580 | Credit Suisse AG – HSI R Bear CBBC May 2016 O                  | 200,000,000          | 2016/01/15   | 2016/05/30 | 50.00                     |
| 67585 | Credit Suisse AG – HSI R Bear CBBC May 2016 P                  | 200,000,000          | 2016/01/15   | 2016/05/30 | 50.00                     |
| 67579 | Credit Suisse AG – HSI R Bear CBBC May 2016 Q                  | 200,000,000          | 2016/01/15   | 2016/05/30 | 50.00                     |
| 67594 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 K                  | 200,000,000          | 2016/01/15   | 2016/06/29 | 50.00                     |
| 67510 | Bank of East Asia – CC Bank R Bull CBBC Jan 2017 A             | 60,000,000           | 2016/01/15   | 2017/01/20 | 15.00                     |
| 67525 | Bank of East Asia – HS H-SH ETF R Bull CBBC Jan 2017 A         | 40,000,000           | 2016/01/15   | 2017/01/18 | 10.00                     |
| 67502 | Bank of East Asia – HSBC Holdings R Bull CBBC Jan 2017 A       | 60,000,000           | 2016/01/15   | 2017/01/24 | 15.00                     |
| 67511 | Bank of East Asia – Ping An R Bull CBBC Jan 2017 A             | 20,000,000           | 2016/01/15   | 2017/01/19 | 16.00                     |
| 67507 | Bank of East Asia – TCH R Bull CBBC Jan 2017 A                 | 40,000,000           | 2016/01/15   | 2017/01/23 | 10.00                     |
| 67375 | HK Bank – CAM CSI300 R Bull CBBC Nov 2016 C                    | 50,000,000           | 2016/01/15   | 2016/11/07 | 51.00                     |
| 67448 | HK Bank – CKH R Bull CBBC Jan 2017 A                           | 40,000,000           | 2016/01/15   | 2017/01/16 | 10.00                     |
| 67361 | HK Bank – CKP R Bull CBBC Jan 2017 A                           | 40,000,000           | 2016/01/15   | 2017/01/16 | 10.00                     |
| 67365 | HK Bank – CRRC R Bull CBBC Jan 2017 A                          | 40,000,000           | 2016/01/15   | 2017/01/16 | 10.00                     |
| 67387 | HK Bank – CSOP A50 ETF R Bull CBBC Feb 2017 C                  | 50,000,000           | 2016/01/15   | 2017/02/22 | 12.50                     |
| 67392 | HK Bank – CSOP A50 ETF R Bull CBBC Feb 2017 D                  | 50,000,000           | 2016/01/15   | 2017/02/27 | 12.50                     |
| 67380 | HK Bank – CSOP A50 ETF R Bull CBBC Mar 2017 F                  | 50,000,000           | 2016/01/15   | 2017/03/06 | 15.50                     |
| 67418 | HK Bank – A50 R Bull CBBC Feb 2017 D                           | 50,000,000           | 2016/01/15   | 2017/02/22 | 12.50                     |
| 67419 | HK Bank – A50 R Bull CBBC Feb 2017 E                           | 50,000,000           | 2016/01/15   | 2017/02/27 | 12.50                     |
| 67425 | HK Bank – HS H-SH ETF R Bull CBBC Feb 2017 C                   | 50,000,000           | 2016/01/15   | 2017/02/22 | 12.50                     |
| 67426 | HK Bank – HS H-SH ETF R Bull CBBC Feb 2017 D                   | 50,000,000           | 2016/01/15   | 2017/02/27 | 12.50                     |
| 67372 | HK Bank – Haitong Sec R Bull CBBC Jan 2017 A                   | 40,000,000           | 2016/01/15   | 2017/01/16 | 13.20                     |
| 67366 | HK Bank – Sands China R Bull CBBC Jan 2017 A                   | 40,000,000           | 2016/01/15   | 2017/01/16 | 30.00                     |
| 67440 | HK Bank – TCH R Bear CBBC Aug 2016 C                           | 40,000,000           | 2016/01/15   | 2016/08/29 | 10.00                     |
| 67438 | HK Bank – TCH R Bear CBBC Sep 2016 C                           | 40,000,000           | 2016/01/15   | 2016/09/26 | 10.80                     |
| 67441 | HK Bank – TCH R Bear CBBC Oct 2016 G                           | 40,000,000           | 2016/01/15   | 2016/10/12 | 10.00                     |
| 67686 | J P Morgan SP BV – China Mobile R Bull CBBC Jan 2017 A         | 100,000,000          | 2016/01/15   | 2017/01/20 | 25.00                     |
| 67697 | J P Morgan SP BV – CC Bank R Bull CBBC Jan 2017 A              | 100,000,000          | 2016/01/15   | 2017/01/20 | 25.00                     |
| 67703 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 I                  | 200,000,000          | 2016/01/15   | 2016/11/29 | 50.00                     |
| 67704 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 Z                  | 150,000,000          | 2016/01/15   | 2016/11/29 | 37.50                     |
| 67538 | J P Morgan SP BV – HSI R Bear CBBC May 2016 U                  | 200,000,000          | 2016/01/15   | 2016/05/30 | 50.00                     |
| 67706 | J P Morgan SP BV – HSI R Bear CBBC May 2016 V                  | 200,000,000          | 2016/01/15   | 2016/05/30 | 50.00                     |
| 67720 | J P Morgan SP BV – HSI R Bear CBBC May 2016 W                  | 200,000,000          | 2016/01/15   | 2016/05/30 | 50.00                     |
| 67710 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 A                  | 200,000,000          | 2016/01/15   | 2016/06/29 | 50.00                     |
| 67684 | J P Morgan SP BV – Tencent R Bull CBBC Jan 2017 A              | 80,000,000           | 2016/01/15   | 2017/01/20 | 20.00                     |
| 67685 | J P Morgan SP BV – Tencent R Bear CBBC Jan 2017 A              | 80,000,000           | 2016/01/15   | 2017/01/20 | 20.00                     |
| 67485 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 H | 200,000,000          | 2016/01/15   | 2016/11/29 | 50.00                     |
| 67477 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 F | 200,000,000          | 2016/01/15   | 2016/04/28 | 50.00                     |
| 67476 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 J | 200,000,000          | 2016/01/15   | 2016/04/28 | 50.00                     |
| 67480 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 M | 200,000,000          | 2016/01/15   | 2016/04/28 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 67467 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 I | 200,000,000          | 2016/01/15   | 2016/06/29 | 50.00                     |
| 67492 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 O | 200,000,000          | 2016/01/15   | 2016/06/29 | 50.00                     |
| 67679 | UBS AG – HSI R Bull CBBC Dec 2016 S                            | 200,000,000          | 2016/01/15   | 2016/12/29 | 50.00                     |
| 67632 | UBS AG – HSI R Bull CBBC Feb 2017 I                            | 200,000,000          | 2016/01/15   | 2017/02/27 | 50.00                     |
| 67611 | UBS AG – HSI R Bear CBBC Apr 2016 R                            | 200,000,000          | 2016/01/15   | 2016/04/28 | 50.00                     |
| 67629 | UBS AG – HSI R Bear CBBC Apr 2016 S                            | 200,000,000          | 2016/01/15   | 2016/04/28 | 50.00                     |
| 67618 | UBS AG – HSI R Bear CBBC May 2016 I                            | 200,000,000          | 2016/01/15   | 2016/05/30 | 50.00                     |
| 67626 | UBS AG – HSI R Bear CBBC May 2016 J                            | 200,000,000          | 2016/01/15   | 2016/05/30 | 50.00                     |
| 68130 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Nov 2016 L     | 100,000,000          | 2016/01/18   | 2016/11/29 | 25.00                     |
| 68133 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Dec 2016 L     | 100,000,000          | 2016/01/18   | 2016/12/29 | 25.00                     |
| 68136 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Dec 2016 M     | 100,000,000          | 2016/01/18   | 2016/12/29 | 25.00                     |
| 68143 | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC May 2016 F     | 100,000,000          | 2016/01/18   | 2016/05/30 | 25.00                     |
| 68138 | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC Jun 2016 A     | 100,000,000          | 2016/01/18   | 2016/06/29 | 25.00                     |
| 68144 | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC Jun 2016 B     | 100,000,000          | 2016/01/18   | 2016/06/29 | 25.00                     |
| 67843 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Sep 2016 M       | 250,000,000          | 2016/01/18   | 2016/09/29 | 62.50                     |
| 67855 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 F       | 250,000,000          | 2016/01/18   | 2016/10/28 | 62.50                     |
| 67878 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 G       | 250,000,000          | 2016/01/18   | 2016/10/28 | 62.50                     |
| 68084 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 J       | 250,000,000          | 2016/01/18   | 2016/11/29 | 67.50                     |
| 68108 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 M       | 250,000,000          | 2016/01/18   | 2016/11/29 | 62.50                     |
| 68092 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 R       | 250,000,000          | 2016/01/18   | 2016/11/29 | 62.50                     |
| 68126 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 V       | 200,000,000          | 2016/01/18   | 2016/05/30 | 50.00                     |
| 68269 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 W       | 200,000,000          | 2016/01/18   | 2016/05/30 | 50.00                     |
| 68117 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 E       | 200,000,000          | 2016/01/18   | 2016/06/29 | 50.00                     |
| 68121 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 F       | 200,000,000          | 2016/01/18   | 2016/06/29 | 50.00                     |
| 68147 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 B                  | 200,000,000          | 2016/01/18   | 2016/09/29 | 50.00                     |
| 68145 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 J                  | 200,000,000          | 2016/01/18   | 2016/09/29 | 50.00                     |
| 68148 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 K                  | 200,000,000          | 2016/01/18   | 2016/09/29 | 50.00                     |
| 68151 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 L                  | 200,000,000          | 2016/01/18   | 2016/09/29 | 50.00                     |
| 68156 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 X                  | 200,000,000          | 2016/01/18   | 2016/04/28 | 50.00                     |
| 68164 | Credit Suisse AG – HSI R Bear CBBC May 2016 B                  | 200,000,000          | 2016/01/18   | 2016/05/30 | 50.00                     |
| 68163 | Credit Suisse AG – HSI R Bear CBBC May 2016 R                  | 200,000,000          | 2016/01/18   | 2016/05/30 | 50.00                     |
| 68153 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 L                  | 200,000,000          | 2016/01/18   | 2016/06/29 | 50.00                     |
| 68166 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 M                  | 200,000,000          | 2016/01/18   | 2016/06/29 | 50.00                     |
| 67765 | HK Bank – ABC R Bear CBBC Dec 2016 A                           | 40,000,000           | 2016/01/18   | 2016/12/19 | 10.00                     |
| 67739 | HK Bank – BOCL R Bear CBBC Nov 2016 A                          | 40,000,000           | 2016/01/18   | 2016/11/28 | 10.00                     |
| 67783 | HK Bank – Sinopec Corp R Bear CBBC Dec 2016 A                  | 40,000,000           | 2016/01/18   | 2016/12/19 | 10.00                     |
| 67768 | HK Bank – CSOP A50 ETF R Bull CBBC Jan 2017 A                  | 50,000,000           | 2016/01/18   | 2017/01/16 | 12.50                     |
| 67727 | HK Bank – A50 R Bull CBBC Jan 2017 A                           | 50,000,000           | 2016/01/18   | 2017/01/16 | 12.50                     |
| 67736 | HK Bank – Galaxy Ent R Bear CBBC Dec 2016 B                    | 40,000,000           | 2016/01/18   | 2016/12/19 | 20.80                     |
| 67762 | HK Bank – HKEX R Bear CBBC Nov 2016 B                          | 40,000,000           | 2016/01/18   | 2016/11/28 | 10.00                     |
| 67837 | HK Bank – HSI R Bull CBBC Oct 2016 T                           | 150,000,000          | 2016/01/18   | 2016/10/28 | 37.50                     |
| 67828 | HK Bank – HSI R Bull CBBC Dec 2016 K                           | 150,000,000          | 2016/01/18   | 2016/12/29 | 37.50                     |
| 67788 | HK Bank – HSI R Bear CBBC Nov 2016 D                           | 150,000,000          | 2016/01/18   | 2016/11/29 | 37.50                     |
| 67814 | HK Bank – HSI R Bear CBBC Dec 2016 E                           | 400,000,000          | 2016/01/18   | 2016/12/29 | 100.00                    |
| 67767 | HK Bank – ICBC R Bear CBBC Dec 2016 A                          | 40,000,000           | 2016/01/18   | 2016/12/19 | 10.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 67774 | HK Bank – PetCh R Bear CBBC Dec 2016 B                         | 40,000,000           | 2016/01/18   | 2016/12/19 | 10.00                     |
| 67738 | HK Bank – Sands China R Bear CBBC Dec 2016 D                   | 40,000,000           | 2016/01/18   | 2016/12/19 | 21.60                     |
| 68277 | J P Morgan SP BV – AIA R Bull CBBC Feb 2017 A                  | 100,000,000          | 2016/01/18   | 2017/02/17 | 25.00                     |
| 68273 | J P Morgan SP BV – BOCL R Bull CBBC Feb 2017 A                 | 100,000,000          | 2016/01/18   | 2017/02/17 | 25.00                     |
| 68274 | J P Morgan SP BV – CC Bank R Bull CBBC Feb 2017 A              | 100,000,000          | 2016/01/18   | 2017/02/17 | 25.00                     |
| 68034 | J P Morgan SP BV – HSCEI R Bull CBBC Jan 2017 C                | 100,000,000          | 2016/01/18   | 2017/01/26 | 25.00                     |
| 68353 | J P Morgan SP BV – HSCEI R Bull CBBC Jun 2017 A                | 100,000,000          | 2016/01/18   | 2017/06/29 | 25.00                     |
| 68355 | J P Morgan SP BV – HSCEI R Bear CBBC May 2016 C                | 100,000,000          | 2016/01/18   | 2016/05/30 | 25.00                     |
| 68016 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 R                  | 200,000,000          | 2016/01/18   | 2016/11/29 | 50.00                     |
| 68286 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 I                  | 200,000,000          | 2016/01/18   | 2016/12/29 | 50.00                     |
| 68285 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 T                  | 200,000,000          | 2016/01/18   | 2016/12/29 | 50.00                     |
| 68014 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 W                  | 200,000,000          | 2016/01/18   | 2016/12/29 | 50.00                     |
| 68033 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 Z                  | 200,000,000          | 2016/01/18   | 2017/01/26 | 50.00                     |
| 68289 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 F                  | 200,000,000          | 2016/01/18   | 2017/02/27 | 50.00                     |
| 68295 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 G                  | 200,000,000          | 2016/01/18   | 2017/02/27 | 50.00                     |
| 68301 | J P Morgan SP BV – HSI R Bull CBBC Jun 2017 B                  | 200,000,000          | 2016/01/18   | 2017/06/29 | 50.00                     |
| 68310 | J P Morgan SP BV – HSI R Bear CBBC May 2016 X                  | 200,000,000          | 2016/01/18   | 2016/05/30 | 50.00                     |
| 68316 | J P Morgan SP BV – HSI R Bear CBBC May 2016 Y                  | 200,000,000          | 2016/01/18   | 2016/05/30 | 50.00                     |
| 68339 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 B                  | 200,000,000          | 2016/01/18   | 2016/06/29 | 50.00                     |
| 68341 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 C                  | 200,000,000          | 2016/01/18   | 2016/06/29 | 50.00                     |
| 68344 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 D                  | 200,000,000          | 2016/01/18   | 2016/06/29 | 50.00                     |
| 68276 | J P Morgan SP BV – ICBC R Bull CBBC Feb 2017 A                 | 100,000,000          | 2016/01/18   | 2017/02/17 | 25.00                     |
| 67931 | Macquarie Bank Ltd. – HSI R Bull CBBC Jul 2016 E               | 40,000,000           | 2016/01/18   | 2016/07/28 | 10.20                     |
| 67956 | Macquarie Bank Ltd. – HSI R Bull CBBC Jul 2016 F               | 40,000,000           | 2016/01/18   | 2016/07/28 | 10.40                     |
| 68011 | Macquarie Bank Ltd. – HSI R Bull CBBC Jul 2016 G               | 40,000,000           | 2016/01/18   | 2016/07/28 | 10.00                     |
| 67961 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 D               | 40,000,000           | 2016/01/18   | 2016/07/28 | 10.00                     |
| 67966 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 E               | 40,000,000           | 2016/01/18   | 2016/07/28 | 10.20                     |
| 67989 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 F               | 40,000,000           | 2016/01/18   | 2016/07/28 | 10.40                     |
| 68005 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 G               | 40,000,000           | 2016/01/18   | 2016/07/28 | 10.60                     |
| 67911 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 J | 200,000,000          | 2016/01/18   | 2016/10/28 | 50.00                     |
| 67917 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 K | 200,000,000          | 2016/01/18   | 2016/10/28 | 50.00                     |
| 67906 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 I | 200,000,000          | 2016/01/18   | 2016/11/29 | 50.00                     |
| 67880 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 B | 200,000,000          | 2016/01/18   | 2016/12/29 | 62.00                     |
| 67900 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 C | 200,000,000          | 2016/01/18   | 2016/12/29 | 58.00                     |
| 68059 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 P | 200,000,000          | 2016/01/18   | 2016/04/28 | 50.00                     |
| 68060 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 V | 200,000,000          | 2016/01/18   | 2016/05/30 | 50.00                     |
| 68051 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 P | 200,000,000          | 2016/01/18   | 2016/06/29 | 50.00                     |
| 68057 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 Q | 200,000,000          | 2016/01/18   | 2016/06/29 | 50.00                     |
| 67918 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 B | 400,000,000          | 2016/01/18   | 2016/07/28 | 100.00                    |
| 68067 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 C | 200,000,000          | 2016/01/18   | 2016/07/28 | 50.00                     |
| 68072 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 D | 200,000,000          | 2016/01/18   | 2016/07/28 | 50.00                     |
| 68254 | UBS AG – China Mobile R Bull CBBC Dec 2016 A                   | 50,000,000           | 2016/01/18   | 2016/12/12 | 12.50                     |
| 68244 | UBS AG – HSBC R Bull CBBC Nov 2016 C                           | 100,000,000          | 2016/01/18   | 2016/11/14 | 25.00                     |
| 68189 | UBS AG – HSCEI R Bull CBBC Dec 2016 A                          | 200,000,000          | 2016/01/18   | 2016/12/29 | 50.00                     |
| 68190 | UBS AG – HSCEI R Bear CBBC May 2016 A                          | 100,000,000          | 2016/01/18   | 2016/05/30 | 25.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                             | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 68177 | UBS AG – HSI R Bull CBBC Nov 2016 W                      | 200,000,000          | 2016/01/18   | 2016/11/29 | 50.00                     |
| 68184 | UBS AG – HSI R Bull CBBC Nov 2016 X                      | 200,000,000          | 2016/01/18   | 2016/11/29 | 50.00                     |
| 68173 | UBS AG – HSI R Bull CBBC Dec 2016 P                      | 200,000,000          | 2016/01/18   | 2016/12/29 | 50.00                     |
| 68169 | UBS AG – HSI R Bull CBBC Dec 2016 R                      | 200,000,000          | 2016/01/18   | 2016/12/29 | 50.00                     |
| 68172 | UBS AG – HSI R Bull CBBC Dec 2016 T                      | 200,000,000          | 2016/01/18   | 2016/12/29 | 50.00                     |
| 68179 | UBS AG – HSI R Bull CBBC Dec 2016 U                      | 200,000,000          | 2016/01/18   | 2016/12/29 | 50.00                     |
| 68192 | UBS AG – HSI R Bull CBBC Jan 2017 A                      | 200,000,000          | 2016/01/18   | 2017/01/26 | 50.00                     |
| 68222 | UBS AG – HSI R Bull CBBC Jan 2017 B                      | 200,000,000          | 2016/01/18   | 2017/01/26 | 50.00                     |
| 68225 | UBS AG – HSI R Bull CBBC Jan 2017 C                      | 200,000,000          | 2016/01/18   | 2017/01/26 | 54.00                     |
| 68202 | UBS AG – HSI R Bull CBBC Feb 2017 J                      | 200,000,000          | 2016/01/18   | 2017/02/27 | 50.00                     |
| 68227 | UBS AG – HSI R Bear CBBC Apr 2016 T                      | 200,000,000          | 2016/01/18   | 2016/04/28 | 50.00                     |
| 68241 | UBS AG – HSI R Bear CBBC Apr 2016 U                      | 200,000,000          | 2016/01/18   | 2016/04/28 | 50.00                     |
| 68242 | UBS AG – HSI R Bear CBBC Apr 2016 V                      | 200,000,000          | 2016/01/18   | 2016/04/28 | 50.00                     |
| 68229 | UBS AG – HSI R Bear CBBC May 2016 K                      | 200,000,000          | 2016/01/18   | 2016/05/30 | 50.00                     |
| 68243 | UBS AG – HSI R Bear CBBC May 2016 L                      | 200,000,000          | 2016/01/18   | 2016/05/30 | 50.00                     |
| 68265 | UBS AG – HSI R Bear CBBC May 2016 M                      | 200,000,000          | 2016/01/18   | 2016/05/30 | 50.00                     |
| 68633 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Sep 2016 N | 250,000,000          | 2016/01/19   | 2016/09/29 | 62.50                     |
| 68488 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 H | 250,000,000          | 2016/01/19   | 2016/10/28 | 62.50                     |
| 68632 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 O | 250,000,000          | 2016/01/19   | 2016/11/29 | 62.50                     |
| 68606 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 N | 250,000,000          | 2016/01/19   | 2016/12/29 | 75.00                     |
| 68607 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 R | 250,000,000          | 2016/01/19   | 2016/12/29 | 70.00                     |
| 68489 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 X | 200,000,000          | 2016/01/19   | 2016/05/30 | 50.00                     |
| 68634 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 G | 200,000,000          | 2016/01/19   | 2016/06/29 | 50.00                     |
| 68576 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 K            | 200,000,000          | 2016/01/19   | 2016/10/28 | 50.00                     |
| 68574 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 S            | 200,000,000          | 2016/01/19   | 2016/10/28 | 50.00                     |
| 68578 | Credit Suisse AG – HSI R Bear CBBC Apr 2016 H            | 200,000,000          | 2016/01/19   | 2016/04/28 | 50.00                     |
| 68592 | Credit Suisse AG – HSI R Bear CBBC May 2016 H            | 200,000,000          | 2016/01/19   | 2016/05/30 | 50.00                     |
| 68577 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 N            | 200,000,000          | 2016/01/19   | 2016/06/29 | 50.00                     |
| 68587 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 O            | 200,000,000          | 2016/01/19   | 2016/06/29 | 50.00                     |
| 68357 | HK Bank – China Mobile R Bull CBBC Dec 2016 F            | 50,000,000           | 2016/01/19   | 2016/12/19 | 12.50                     |
| 68406 | HK Bank – CITIC Sec R Bull CBBC Nov 2016 C               | 40,000,000           | 2016/01/19   | 2016/11/14 | 19.20                     |
| 68359 | HK Bank – China Life R Bull CBBC Oct 2016 D              | 50,000,000           | 2016/01/19   | 2016/10/24 | 21.50                     |
| 68360 | HK Bank – China Life R Bull CBBC Nov 2016 C              | 50,000,000           | 2016/01/19   | 2016/11/14 | 26.50                     |
| 68379 | HK Bank – CM Bank R Bull CBBC Dec 2016 D                 | 40,000,000           | 2016/01/19   | 2016/12/30 | 14.00                     |
| 68369 | HK Bank – CRRC R Bull CBBC Mar 2017 A                    | 40,000,000           | 2016/01/19   | 2017/03/06 | 10.00                     |
| 68376 | HK Bank – Galaxy Ent R Bull CBBC Nov 2016 G              | 40,000,000           | 2016/01/19   | 2016/11/14 | 26.00                     |
| 68404 | HK Bank – HKEX R Bull CBBC Oct 2016 T                    | 50,000,000           | 2016/01/19   | 2016/10/31 | 17.00                     |
| 68358 | HK Bank – HKEX R Bull CBBC Dec 2016 B                    | 50,000,000           | 2016/01/19   | 2016/12/21 | 25.50                     |
| 68396 | HK Bank – HSCEI R Bull CBBC Oct 2016 N                   | 60,000,000           | 2016/01/19   | 2016/10/28 | 15.00                     |
| 68402 | HK Bank – HSCEI R Bull CBBC Nov 2016 K                   | 60,000,000           | 2016/01/19   | 2016/11/29 | 15.00                     |
| 68426 | HK Bank – HSCEI R Bull CBBC Nov 2016 L                   | 60,000,000           | 2016/01/19   | 2016/11/29 | 15.00                     |
| 68423 | HK Bank – HSCEI R Bear CBBC Sep 2016 E                   | 50,000,000           | 2016/01/19   | 2016/09/29 | 12.50                     |
| 68414 | HK Bank – HSI R Bull CBBC Sep 2016 B                     | 400,000,000          | 2016/01/19   | 2016/09/29 | 100.00                    |
| 68409 | HK Bank – HSI R Bull CBBC Nov 2016 M                     | 150,000,000          | 2016/01/19   | 2016/11/29 | 37.50                     |
| 68412 | HK Bank – HSI R Bull CBBC Dec 2016 L                     | 150,000,000          | 2016/01/19   | 2016/12/29 | 37.50                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 68415 | HK Bank – HSI R Bear CBBC Aug 2016 P                           | 150,000,000          | 2016/01/19   | 2016/08/30 | 37.50                     |
| 68421 | HK Bank – HSI R Bear CBBC Sep 2016 K                           | 150,000,000          | 2016/01/19   | 2016/09/29 | 37.50                     |
| 68374 | HK Bank – SHK Ppt R Bull CBBC Jan 2017 B                       | 40,000,000           | 2016/01/19   | 2017/01/16 | 10.00                     |
| 68377 | HK Bank – TCH R Bull CBBC Oct 2016 F                           | 50,000,000           | 2016/01/19   | 2016/10/24 | 12.50                     |
| 68378 | HK Bank – TCH R Bull CBBC Nov 2016 F                           | 50,000,000           | 2016/01/19   | 2016/11/07 | 12.50                     |
| 68439 | HK Bank – TCH R Bear CBBC Nov 2016 B                           | 40,000,000           | 2016/01/19   | 2016/11/24 | 10.00                     |
| 68732 | J P Morgan SP BV – CC Bank R Bull CBBC Mar 2017 A              | 100,000,000          | 2016/01/19   | 2017/03/17 | 25.00                     |
| 68725 | J P Morgan SP BV – CSOP A50 ETF R Bull CBBC Mar 2017 A         | 80,000,000           | 2016/01/19   | 2017/03/17 | 20.00                     |
| 68723 | J P Morgan SP BV – A50 China R Bull CBBC Mar 2017 A            | 80,000,000           | 2016/01/19   | 2017/03/17 | 20.00                     |
| 68722 | J P Morgan SP BV – HSBC R Bull CBBC Apr 2017 A                 | 100,000,000          | 2016/01/19   | 2017/04/21 | 25.00                     |
| 68717 | J P Morgan SP BV – HSBC R Bear CBBC Sep 2016 A                 | 100,000,000          | 2016/01/19   | 2016/09/15 | 25.00                     |
| 68654 | J P Morgan SP BV – HSI R Bull CBBC Sep 2016 A                  | 200,000,000          | 2016/01/19   | 2016/09/29 | 50.00                     |
| 68656 | J P Morgan SP BV – HSI R Bull CBBC Oct 2016 Y                  | 150,000,000          | 2016/01/19   | 2016/10/28 | 37.50                     |
| 68658 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 O                  | 150,000,000          | 2016/01/19   | 2016/11/29 | 37.50                     |
| 68446 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 Q                  | 150,000,000          | 2016/01/19   | 2016/11/29 | 37.50                     |
| 68659 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 B                  | 200,000,000          | 2016/01/19   | 2017/04/27 | 50.00                     |
| 68661 | J P Morgan SP BV – HSI R Bull CBBC May 2017 B                  | 200,000,000          | 2016/01/19   | 2017/05/29 | 50.00                     |
| 68665 | J P Morgan SP BV – HSI R Bear CBBC May 2016 Z                  | 150,000,000          | 2016/01/19   | 2016/05/30 | 37.50                     |
| 68680 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 F                  | 200,000,000          | 2016/01/19   | 2016/06/29 | 50.00                     |
| 68701 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 A                  | 200,000,000          | 2016/01/19   | 2016/07/28 | 50.00                     |
| 68707 | J P Morgan SP BV – Tencent R Bull CBBC Feb 2017 A              | 80,000,000           | 2016/01/19   | 2017/02/17 | 20.00                     |
| 68708 | J P Morgan SP BV – Tencent R Bear CBBC Nov 2016 A              | 80,000,000           | 2016/01/19   | 2016/11/18 | 20.00                     |
| 68491 | Macquarie Bank Ltd. – HSI R Bull CBBC Jul 2016 H               | 40,000,000           | 2016/01/19   | 2016/07/28 | 10.00                     |
| 68492 | Macquarie Bank Ltd. – HSI R Bull CBBC Jul 2016 I               | 40,000,000           | 2016/01/19   | 2016/07/28 | 10.40                     |
| 68501 | Macquarie Bank Ltd. – HSI R Bull CBBC Jul 2016 J               | 40,000,000           | 2016/01/19   | 2016/07/28 | 10.20                     |
| 68493 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 H               | 40,000,000           | 2016/01/19   | 2016/07/28 | 10.00                     |
| 68494 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 I               | 40,000,000           | 2016/01/19   | 2016/07/28 | 10.20                     |
| 68500 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 J               | 40,000,000           | 2016/01/19   | 2016/07/28 | 10.40                     |
| 68447 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 D | 200,000,000          | 2016/01/19   | 2016/12/29 | 50.00                     |
| 68485 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 O | 200,000,000          | 2016/01/19   | 2016/04/28 | 50.00                     |
| 68451 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 Q | 200,000,000          | 2016/01/19   | 2016/04/28 | 50.00                     |
| 68463 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 T | 200,000,000          | 2016/01/19   | 2016/04/28 | 50.00                     |
| 68481 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 V | 200,000,000          | 2016/01/19   | 2016/04/28 | 50.00                     |
| 68637 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 Y | 200,000,000          | 2016/01/19   | 2016/04/28 | 50.00                     |
| 68642 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 Z | 200,000,000          | 2016/01/19   | 2016/04/28 | 50.00                     |
| 68504 | UBS AG – HSI R Bull CBBC Jan 2017 D                            | 200,000,000          | 2016/01/19   | 2017/01/26 | 50.00                     |
| 68510 | UBS AG – HSI R Bull CBBC Jan 2017 E                            | 200,000,000          | 2016/01/19   | 2017/01/26 | 50.00                     |
| 68526 | UBS AG – HSI R Bull CBBC Jan 2017 F                            | 200,000,000          | 2016/01/19   | 2017/01/26 | 50.00                     |
| 68561 | UBS AG – HSI R Bull CBBC Jan 2017 G                            | 200,000,000          | 2016/01/19   | 2017/01/26 | 50.00                     |
| 68502 | UBS AG – HSI R Bull CBBC Feb 2017 K                            | 200,000,000          | 2016/01/19   | 2017/02/27 | 50.00                     |
| 68528 | UBS AG – HSI R Bull CBBC Feb 2017 L                            | 200,000,000          | 2016/01/19   | 2017/02/27 | 50.00                     |
| 68562 | UBS AG – HSI R Bull CBBC Feb 2017 M                            | 200,000,000          | 2016/01/19   | 2017/02/27 | 50.00                     |
| 68573 | UBS AG – HSI R Bull CBBC Mar 2017 A                            | 200,000,000          | 2016/01/19   | 2017/03/30 | 50.00                     |
| 68593 | UBS AG – HSI R Bear CBBC Apr 2016 W                            | 200,000,000          | 2016/01/19   | 2016/04/28 | 50.00                     |
| 68597 | UBS AG – HSI R Bear CBBC Apr 2016 X                            | 200,000,000          | 2016/01/19   | 2016/04/28 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 68598 | UBS AG – HSI R Bear CBBC Apr 2016 Y                            | 200,000,000          | 2016/01/19   | 2016/04/28 | 50.00                     |
| 68889 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Sep 2016 O       | 250,000,000          | 2016/01/20   | 2016/09/29 | 62.50                     |
| 68953 | Credit Suisse AG – HSI R Bull CBBC Aug 2016 E                  | 200,000,000          | 2016/01/20   | 2016/08/30 | 50.00                     |
| 68960 | Credit Suisse AG – HSI R Bull CBBC Aug 2016 G                  | 200,000,000          | 2016/01/20   | 2016/08/30 | 50.00                     |
| 68977 | Credit Suisse AG – HSI R Bull CBBC Aug 2016 H                  | 200,000,000          | 2016/01/20   | 2016/08/30 | 50.00                     |
| 68945 | Credit Suisse AG – HSI R Bear CBBC May 2016 A                  | 200,000,000          | 2016/01/20   | 2016/05/30 | 50.00                     |
| 68944 | Credit Suisse AG – HSI R Bear CBBC May 2016 I                  | 200,000,000          | 2016/01/20   | 2016/05/30 | 50.00                     |
| 68833 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 L           | 200,000,000          | 2016/01/20   | 2016/09/29 | 50.80                     |
| 68838 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 M           | 200,000,000          | 2016/01/20   | 2016/09/29 | 53.40                     |
| 68849 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 N           | 200,000,000          | 2016/01/20   | 2016/09/29 | 55.40                     |
| 68851 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 O           | 200,000,000          | 2016/01/20   | 2016/09/29 | 57.00                     |
| 68862 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 P           | 200,000,000          | 2016/01/20   | 2016/09/29 | 58.60                     |
| 68763 | HK Bank – ABC R Bear CBBC Nov 2016 A                           | 40,000,000           | 2016/01/20   | 2016/11/28 | 10.00                     |
| 68760 | HK Bank – China Mobile R Bear CBBC Dec 2016 A                  | 40,000,000           | 2016/01/20   | 2016/12/05 | 10.00                     |
| 68762 | HK Bank – CNOOC R Bull CBBC Dec 2016 F                         | 50,000,000           | 2016/01/20   | 2016/12/19 | 12.50                     |
| 68745 | HK Bank – CNOOC R Bear CBBC Dec 2016 C                         | 40,000,000           | 2016/01/20   | 2016/12/19 | 10.00                     |
| 68750 | HK Bank – Sinopec Corp R Bear CBBC Dec 2016 B                  | 40,000,000           | 2016/01/20   | 2016/12/19 | 10.00                     |
| 68757 | HK Bank – HKEX R Bull CBBC Oct 2016 U                          | 50,000,000           | 2016/01/20   | 2016/10/31 | 12.50                     |
| 68742 | HK Bank – HSI R Bear CBBC Oct 2016 H                           | 150,000,000          | 2016/01/20   | 2016/10/28 | 37.50                     |
| 68755 | HK Bank – PetCh R Bull CBBC Apr 2017 A                         | 50,000,000           | 2016/01/20   | 2017/04/28 | 12.50                     |
| 68756 | HK Bank – PetCh R Bear CBBC Dec 2016 C                         | 40,000,000           | 2016/01/20   | 2016/12/19 | 10.00                     |
| 68764 | HK Bank – Ping An R Bull CBBC Nov 2016 N                       | 50,000,000           | 2016/01/20   | 2016/11/28 | 12.50                     |
| 68804 | HK Bank – Ping An R Bull CBBC Nov 2016 O                       | 50,000,000           | 2016/01/20   | 2016/11/07 | 12.50                     |
| 68778 | HK Bank – Ping An R Bull CBBC Jan 2017 A                       | 50,000,000           | 2016/01/20   | 2017/01/16 | 12.50                     |
| 68811 | HK Bank – Ping An R Bull CBBC Jan 2017 B                       | 50,000,000           | 2016/01/20   | 2017/01/11 | 12.50                     |
| 68803 | HK Bank – Ping An R Bear CBBC Nov 2016 C                       | 40,000,000           | 2016/01/20   | 2016/11/28 | 10.00                     |
| 69019 | J P Morgan SP BV – COVS R Bull CBBC Dec 2016 A                 | 50,000,000           | 2016/01/20   | 2016/12/16 | 12.50                     |
| 69063 | J P Morgan SP BV – COVS R Bull CBBC Feb 2017 A                 | 50,000,000           | 2016/01/20   | 2017/02/17 | 22.50                     |
| 69064 | J P Morgan SP BV – China Life R Bull CBBC Dec 2016 B           | 40,000,000           | 2016/01/20   | 2016/12/16 | 10.00                     |
| 69084 | J P Morgan SP BV – HS H-SH ETF R Bull CBBC Jan 2017 A          | 180,000,000          | 2016/01/20   | 2017/01/20 | 45.00                     |
| 68937 | J P Morgan SP BV – HSCEI R Bull CBBC Dec 2016 I                | 100,000,000          | 2016/01/20   | 2016/12/29 | 25.00                     |
| 68939 | J P Morgan SP BV – HSCEI R Bull CBBC Apr 2017 A                | 100,000,000          | 2016/01/20   | 2017/04/27 | 25.00                     |
| 68943 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 J                  | 200,000,000          | 2016/01/20   | 2016/12/29 | 50.00                     |
| 68997 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 F                  | 150,000,000          | 2016/01/20   | 2017/01/26 | 37.50                     |
| 69012 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 D                  | 150,000,000          | 2016/01/20   | 2017/03/30 | 37.50                     |
| 69014 | J P Morgan SP BV – HSI R Bull CBBC Jul 2017 B                  | 200,000,000          | 2016/01/20   | 2017/07/28 | 50.00                     |
| 68864 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 G                  | 200,000,000          | 2016/01/20   | 2016/06/29 | 50.00                     |
| 68867 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 B                  | 200,000,000          | 2016/01/20   | 2016/07/28 | 50.00                     |
| 68986 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 C                  | 150,000,000          | 2016/01/20   | 2016/07/28 | 37.50                     |
| 69083 | J P Morgan SP BV – PetCh R Bull CBBC Feb 2017 A                | 180,000,000          | 2016/01/20   | 2017/02/17 | 45.00                     |
| 69085 | J P Morgan SP BV – Tracker Fund R Bull CBBC Dec 2016 C         | 100,000,000          | 2016/01/20   | 2016/12/16 | 25.00                     |
| 68874 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 K               | 40,000,000           | 2016/01/20   | 2016/07/28 | 10.00                     |
| 68912 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 L | 200,000,000          | 2016/01/20   | 2016/10/28 | 50.00                     |
| 68913 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 J | 200,000,000          | 2016/01/20   | 2016/11/29 | 50.00                     |
| 68914 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 E | 200,000,000          | 2016/01/20   | 2016/12/29 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 68816 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 N | 200,000,000          | 2016/01/20   | 2016/06/29 | 50.00                     |
| 68817 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 E | 200,000,000          | 2016/01/20   | 2016/07/28 | 50.00                     |
| 68819 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 F | 200,000,000          | 2016/01/20   | 2016/07/28 | 50.00                     |
| 68925 | UBS AG – HSI R Bull CBBC Jan 2017 H                            | 200,000,000          | 2016/01/20   | 2017/01/26 | 50.00                     |
| 68923 | UBS AG – HSI R Bull CBBC Feb 2017 N                            | 200,000,000          | 2016/01/20   | 2017/02/27 | 50.00                     |
| 68926 | UBS AG – HSI R Bull CBBC Feb 2017 O                            | 200,000,000          | 2016/01/20   | 2017/02/27 | 50.00                     |
| 68922 | UBS AG – HSI R Bear CBBC Apr 2016 A                            | 200,000,000          | 2016/01/20   | 2016/04/28 | 50.00                     |
| 68916 | UBS AG – HSI R Bear CBBC Apr 2016 Z                            | 200,000,000          | 2016/01/20   | 2016/04/28 | 50.00                     |
| 68915 | UBS AG – HSI R Bear CBBC May 2016 N                            | 200,000,000          | 2016/01/20   | 2016/05/30 | 50.00                     |
| 69148 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2016 I       | 250,000,000          | 2016/01/21   | 2016/10/28 | 62.50                     |
| 69171 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 Y       | 200,000,000          | 2016/01/21   | 2016/05/30 | 50.00                     |
| 69176 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 T                  | 200,000,000          | 2016/01/21   | 2016/11/29 | 50.00                     |
| 69181 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 Z                  | 200,000,000          | 2016/01/21   | 2016/11/29 | 50.00                     |
| 69186 | Credit Suisse AG – HSI R Bear CBBC May 2016 T                  | 200,000,000          | 2016/01/21   | 2016/05/30 | 50.00                     |
| 69187 | Credit Suisse AG – HSI R Bear CBBC May 2016 U                  | 200,000,000          | 2016/01/21   | 2016/05/30 | 50.00                     |
| 69116 | HK Bank – China Mobile R Bull CBBC Nov 2016 E                  | 50,000,000           | 2016/01/21   | 2016/11/28 | 12.50                     |
| 69115 | HK Bank – China Life R Bear CBBC Nov 2016 A                    | 40,000,000           | 2016/01/21   | 2016/11/28 | 23.20                     |
| 69105 | HK Bank – CNOOC R Bull CBBC Dec 2016 G                         | 50,000,000           | 2016/01/21   | 2016/12/07 | 12.50                     |
| 69090 | HK Bank – HKEX R Bull CBBC Nov 2016 F                          | 50,000,000           | 2016/01/21   | 2016/11/28 | 12.50                     |
| 69094 | HK Bank – HSI R Bull CBBC Nov 2016 N                           | 150,000,000          | 2016/01/21   | 2016/11/29 | 37.50                     |
| 69113 | HK Bank – HSI R Bear CBBC Sep 2016 L                           | 150,000,000          | 2016/01/21   | 2016/09/29 | 37.50                     |
| 69232 | J P Morgan SP BV – China Mobile R Bull CBBC Feb 2017 A         | 100,000,000          | 2016/01/21   | 2017/02/17 | 25.00                     |
| 69229 | J P Morgan SP BV – China Mobile R Bull CBBC Nov 2017 A         | 100,000,000          | 2016/01/21   | 2017/11/17 | 25.00                     |
| 69222 | J P Morgan SP BV – HSBC R Bull CBBC Nov 2016 B                 | 200,000,000          | 2016/01/21   | 2016/11/18 | 50.00                     |
| 69226 | J P Morgan SP BV – HSBC R Bull CBBC Sep 2017 A                 | 200,000,000          | 2016/01/21   | 2017/09/15 | 50.00                     |
| 69150 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 S                  | 200,000,000          | 2016/01/21   | 2016/11/29 | 50.00                     |
| 69149 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 L                  | 200,000,000          | 2016/01/21   | 2016/12/29 | 50.00                     |
| 69216 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 M                  | 200,000,000          | 2016/01/21   | 2016/12/29 | 50.00                     |
| 69215 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 G                  | 200,000,000          | 2016/01/21   | 2017/01/26 | 50.00                     |
| 69220 | J P Morgan SP BV – HSI R Bull CBBC Jun 2017 C                  | 200,000,000          | 2016/01/21   | 2017/06/29 | 58.00                     |
| 69210 | J P Morgan SP BV – HSI R Bear CBBC May 2016 A                  | 200,000,000          | 2016/01/21   | 2016/05/30 | 50.00                     |
| 69212 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 D                  | 200,000,000          | 2016/01/21   | 2016/07/28 | 50.00                     |
| 69221 | J P Morgan SP BV – HSI R Bear CBBC Jun 2017 A                  | 200,000,000          | 2016/01/21   | 2017/06/29 | 50.00                     |
| 69228 | J P Morgan SP BV – Tencent R Bear CBBC Feb 2017 A              | 60,000,000           | 2016/01/21   | 2017/02/17 | 15.00                     |
| 69166 | Macquarie Bank Ltd. – HSI R Bull CBBC Jul 2016 K               | 40,000,000           | 2016/01/21   | 2016/07/28 | 10.20                     |
| 69170 | Macquarie Bank Ltd. – HSI R Bull CBBC Jul 2016 L               | 40,000,000           | 2016/01/21   | 2016/07/28 | 10.00                     |
| 69124 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 K | 200,000,000          | 2016/01/21   | 2016/11/29 | 50.00                     |
| 69129 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 F | 200,000,000          | 2016/01/21   | 2016/12/29 | 50.00                     |
| 69172 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 G | 200,000,000          | 2016/01/21   | 2016/07/28 | 50.00                     |
| 69174 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 H | 200,000,000          | 2016/01/21   | 2016/07/28 | 50.00                     |
| 69188 | UBS AG – HSI R Bull CBBC Dec 2016 V                            | 200,000,000          | 2016/01/21   | 2016/12/29 | 50.00                     |
| 69189 | UBS AG – HSI R Bull CBBC Jan 2017 I                            | 200,000,000          | 2016/01/21   | 2017/01/26 | 50.00                     |
| 69206 | UBS AG – HSI R Bull CBBC Jan 2017 J                            | 200,000,000          | 2016/01/21   | 2017/01/26 | 50.00                     |
| 69202 | UBS AG – HSI R Bull CBBC Mar 2017 B                            | 200,000,000          | 2016/01/21   | 2017/03/30 | 50.00                     |
| 69205 | UBS AG – HSI R Bull CBBC Mar 2017 C                            | 200,000,000          | 2016/01/21   | 2017/03/30 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 69208 | UBS AG – HSI R Bull CBBC Jun 2017 A                            | 200,000,000          | 2016/01/21   | 2017/06/29 | 67.00                     |
| 69209 | UBS AG – HSI R Bear CBBC May 2016 O                            | 200,000,000          | 2016/01/21   | 2016/05/30 | 50.00                     |
| 69418 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 H       | 200,000,000          | 2016/01/22   | 2016/06/29 | 50.00                     |
| 69294 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 F                  | 200,000,000          | 2016/01/22   | 2016/09/29 | 50.00                     |
| 69288 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 M                  | 200,000,000          | 2016/01/22   | 2016/09/29 | 50.00                     |
| 69301 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 P                  | 200,000,000          | 2016/01/22   | 2016/06/29 | 50.00                     |
| 69315 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 Q                  | 200,000,000          | 2016/01/22   | 2016/06/29 | 50.00                     |
| 69402 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 Q           | 200,000,000          | 2016/01/22   | 2016/09/29 | 50.80                     |
| 69405 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 R           | 200,000,000          | 2016/01/22   | 2016/09/29 | 51.40                     |
| 69408 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 S           | 200,000,000          | 2016/01/22   | 2016/09/29 | 51.60                     |
| 69412 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 T           | 200,000,000          | 2016/01/22   | 2016/09/29 | 51.40                     |
| 69413 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 U           | 200,000,000          | 2016/01/22   | 2016/09/29 | 51.00                     |
| 69453 | J P Morgan SP BV – CAM CSI300 R Bull CBBC Nov 2016 A           | 200,000,000          | 2016/01/22   | 2016/11/18 | 50.00                     |
| 69480 | J P Morgan SP BV – CAM CSI300 R Bull CBBC Feb 2017 A           | 200,000,000          | 2016/01/22   | 2017/02/17 | 50.00                     |
| 69433 | J P Morgan SP BV – CSOP A50 ETF R Bull CBBC Feb 2017 A         | 80,000,000           | 2016/01/22   | 2017/02/17 | 20.00                     |
| 69432 | J P Morgan SP BV – CSOP A50 ETF R Bull CBBC Apr 2017 A         | 80,000,000           | 2016/01/22   | 2017/04/21 | 20.00                     |
| 69434 | J P Morgan SP BV – A50 China R Bull CBBC Jan 2017 B            | 80,000,000           | 2016/01/22   | 2017/01/20 | 20.00                     |
| 69435 | J P Morgan SP BV – A50 China R Bull CBBC Apr 2017 A            | 80,000,000           | 2016/01/22   | 2017/04/21 | 20.00                     |
| 69425 | J P Morgan SP BV – HKEX R Bull CBBC Nov 2016 E                 | 50,000,000           | 2016/01/22   | 2016/11/18 | 12.50                     |
| 69431 | J P Morgan SP BV – HKEX R Bull CBBC Jan 2017 A                 | 50,000,000           | 2016/01/22   | 2017/01/20 | 12.50                     |
| 69481 | J P Morgan SP BV – HSCEI R Bull CBBC Apr 2017 B                | 100,000,000          | 2016/01/22   | 2017/04/27 | 25.00                     |
| 69485 | J P Morgan SP BV – HSCEI R Bull CBBC Jun 2017 B                | 100,000,000          | 2016/01/22   | 2017/06/29 | 25.00                     |
| 69496 | J P Morgan SP BV – HSCEI R Bear CBBC Apr 2016 N                | 100,000,000          | 2016/01/22   | 2016/04/28 | 25.00                     |
| 69423 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 U                  | 200,000,000          | 2016/01/22   | 2016/12/29 | 50.00                     |
| 69504 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 H                  | 150,000,000          | 2016/01/22   | 2017/01/26 | 37.50                     |
| 69514 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 E                  | 150,000,000          | 2016/01/22   | 2017/03/30 | 37.50                     |
| 69515 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 C                  | 150,000,000          | 2016/01/22   | 2017/04/27 | 37.50                     |
| 69516 | J P Morgan SP BV – HSI R Bull CBBC May 2017 C                  | 200,000,000          | 2016/01/22   | 2017/05/29 | 50.00                     |
| 69519 | J P Morgan SP BV – HSI R Bull CBBC Aug 2017 B                  | 200,000,000          | 2016/01/22   | 2017/08/30 | 60.00                     |
| 69528 | J P Morgan SP BV – HSI R Bear CBBC May 2016 B                  | 200,000,000          | 2016/01/22   | 2016/05/30 | 60.00                     |
| 69531 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 H                  | 200,000,000          | 2016/01/22   | 2016/06/29 | 60.00                     |
| 69533 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 E                  | 150,000,000          | 2016/01/22   | 2016/07/28 | 45.00                     |
| 69449 | J P Morgan SP BV – Ping An R Bull CBBC Dec 2016 B              | 200,000,000          | 2016/01/22   | 2016/12/16 | 50.00                     |
| 69451 | J P Morgan SP BV – Ping An R Bull CBBC Jan 2017 A              | 200,000,000          | 2016/01/22   | 2017/01/20 | 50.00                     |
| 69322 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 L               | 40,000,000           | 2016/01/22   | 2016/07/28 | 10.00                     |
| 69257 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Sep16 L | 200,000,000          | 2016/01/22   | 2016/09/29 | 50.00                     |
| 69234 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 G | 200,000,000          | 2016/01/22   | 2016/12/29 | 50.00                     |
| 69237 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 H | 200,000,000          | 2016/01/22   | 2016/12/29 | 50.00                     |
| 69238 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 I | 200,000,000          | 2016/01/22   | 2016/12/29 | 50.00                     |
| 69239 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 J | 200,000,000          | 2016/01/22   | 2016/12/29 | 50.00                     |
| 69246 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 K | 200,000,000          | 2016/01/22   | 2016/12/29 | 50.00                     |
| 69247 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 L | 200,000,000          | 2016/01/22   | 2016/12/29 | 50.00                     |
| 69347 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 R | 200,000,000          | 2016/01/22   | 2016/06/29 | 50.00                     |
| 69348 | UBS AG – HSCEI R Bull CBBC Oct 2016 F                          | 200,000,000          | 2016/01/22   | 2016/10/28 | 50.00                     |
| 69349 | UBS AG – HSCEI R Bull CBBC Jan 2017 A                          | 200,000,000          | 2016/01/22   | 2017/01/26 | 50.00                     |



# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                               | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 69358 | UBS AG – HSCEI R Bear CBBC Apr 2016 C                      | 100,000,000          | 2016/01/22   | 2016/04/28 | 25.00                     |
| 69359 | UBS AG – HSI R Bull CBBC Jan 2017 K                        | 200,000,000          | 2016/01/22   | 2017/01/26 | 50.00                     |
| 69360 | UBS AG – HSI R Bull CBBC Jan 2017 L                        | 200,000,000          | 2016/01/22   | 2017/01/26 | 50.00                     |
| 69361 | UBS AG – HSI R Bull CBBC Jan 2017 M                        | 200,000,000          | 2016/01/22   | 2017/01/26 | 50.00                     |
| 69367 | UBS AG – HSI R Bull CBBC Feb 2017 P                        | 200,000,000          | 2016/01/22   | 2017/02/27 | 50.00                     |
| 69370 | UBS AG – HSI R Bear CBBC Apr 2016 B                        | 200,000,000          | 2016/01/22   | 2016/04/28 | 50.00                     |
| 69625 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Nov 2016 M | 100,000,000          | 2016/01/25   | 2016/11/29 | 25.00                     |
| 69626 | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC May 2016 G | 100,000,000          | 2016/01/25   | 2016/05/30 | 25.00                     |
| 69607 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 G   | 250,000,000          | 2016/01/25   | 2016/11/29 | 77.50                     |
| 69590 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 I   | 250,000,000          | 2016/01/25   | 2016/11/29 | 62.50                     |
| 69622 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 L   | 250,000,000          | 2016/01/25   | 2016/11/29 | 62.50                     |
| 69591 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 Q   | 250,000,000          | 2016/01/25   | 2016/11/29 | 62.50                     |
| 69614 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 J   | 250,000,000          | 2016/01/25   | 2016/12/29 | 62.50                     |
| 69609 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 O   | 250,000,000          | 2016/01/25   | 2016/12/29 | 70.00                     |
| 69611 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 Y   | 250,000,000          | 2016/01/25   | 2016/12/29 | 62.50                     |
| 69587 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 Z   | 250,000,000          | 2016/01/25   | 2016/12/29 | 62.50                     |
| 69912 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 C   | 200,000,000          | 2016/01/25   | 2016/05/30 | 50.00                     |
| 69606 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 Z   | 200,000,000          | 2016/01/25   | 2016/05/30 | 50.00                     |
| 69605 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 I   | 200,000,000          | 2016/01/25   | 2016/06/29 | 50.00                     |
| 69593 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 A              | 200,000,000          | 2016/01/25   | 2016/10/28 | 50.00                     |
| 69592 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 N              | 200,000,000          | 2016/01/25   | 2016/10/28 | 50.00                     |
| 69695 | Credit Suisse AG – HSI R Bear CBBC May 2016 V              | 200,000,000          | 2016/01/25   | 2016/05/30 | 50.00                     |
| 69913 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 P       | 200,000,000          | 2016/01/25   | 2016/04/28 | 50.40                     |
| 69918 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 Q       | 200,000,000          | 2016/01/25   | 2016/04/28 | 52.80                     |
| 69920 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 R       | 200,000,000          | 2016/01/25   | 2016/04/28 | 55.60                     |
| 69939 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 S       | 200,000,000          | 2016/01/25   | 2016/04/28 | 57.60                     |
| 69969 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Apr 2016 T       | 200,000,000          | 2016/01/25   | 2016/04/28 | 59.40                     |
| 69576 | HK Bank – AIA R Bear CBBC Nov 2016 A                       | 40,000,000           | 2016/01/25   | 2016/11/28 | 18.00                     |
| 69534 | HK Bank – AIA R Bear CBBC Dec 2016 C                       | 40,000,000           | 2016/01/25   | 2016/12/19 | 10.00                     |
| 69552 | HK Bank – CSOP A50 ETF R Bull CBBC Mar 2017 G              | 50,000,000           | 2016/01/25   | 2017/03/27 | 18.00                     |
| 69548 | HK Bank – A50 R Bull CBBC Mar 2017 E                       | 50,000,000           | 2016/01/25   | 2017/03/06 | 12.50                     |
| 69550 | HK Bank – A50 R Bull CBBC Mar 2017 F                       | 50,000,000           | 2016/01/25   | 2017/03/27 | 13.00                     |
| 69566 | HK Bank – HKEX R Bear CBBC Nov 2017 A                      | 40,000,000           | 2016/01/25   | 2017/11/28 | 10.00                     |
| 69565 | HK Bank – HSCEI R Bear CBBC Nov 2016 C                     | 50,000,000           | 2016/01/25   | 2016/11/29 | 12.50                     |
| 69556 | HK Bank – HSI R Bull CBBC Feb 2017 B                       | 150,000,000          | 2016/01/25   | 2017/02/27 | 37.50                     |
| 69564 | HK Bank – HSI R Bull CBBC Feb 2017 C                       | 400,000,000          | 2016/01/25   | 2017/02/27 | 116.00                    |
| 69563 | HK Bank – HSI R Bear CBBC Sep 2016 M                       | 150,000,000          | 2016/01/25   | 2016/09/29 | 37.50                     |
| 69986 | J P Morgan SP BV – CC Bank R Bull CBBC Apr 2017 A          | 150,000,000          | 2016/01/25   | 2017/04/21 | 37.50                     |
| 69974 | J P Morgan SP BV – HKEX R Bull CBBC Feb 2017 A             | 50,000,000           | 2016/01/25   | 2017/02/17 | 12.50                     |
| 69603 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 V              | 200,000,000          | 2016/01/25   | 2016/12/29 | 50.00                     |
| 69604 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 X              | 200,000,000          | 2016/01/25   | 2016/12/29 | 50.00                     |
| 69646 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 H              | 150,000,000          | 2016/01/25   | 2017/02/27 | 37.50                     |
| 69647 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 F              | 150,000,000          | 2016/01/25   | 2017/03/30 | 37.50                     |
| 69663 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 D              | 150,000,000          | 2016/01/25   | 2017/04/27 | 37.50                     |
| 69674 | J P Morgan SP BV – HSI R Bull CBBC May 2017 D              | 200,000,000          | 2016/01/25   | 2017/05/29 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 69684 | J P Morgan SP BV – HSI R Bull CBBC Jun 2017 D                  | 200,000,000          | 2016/01/25   | 2017/06/29 | 50.00                     |
| 69685 | J P Morgan SP BV – HSI R Bull CBBC Dec 2017 A                  | 200,000,000          | 2016/01/25   | 2017/12/28 | 70.00                     |
| 69910 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 J                  | 200,000,000          | 2016/01/25   | 2016/06/29 | 50.00                     |
| 69631 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 F                  | 200,000,000          | 2016/01/25   | 2016/07/28 | 50.00                     |
| 69634 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 G                  | 150,000,000          | 2016/01/25   | 2016/07/28 | 37.50                     |
| 69638 | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 A                  | 150,000,000          | 2016/01/25   | 2016/08/30 | 37.50                     |
| 69970 | J P Morgan SP BV – Ping An R Bull CBBC Feb 2017 A              | 200,000,000          | 2016/01/25   | 2017/02/17 | 50.00                     |
| 69628 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 M               | 40,000,000           | 2016/01/25   | 2016/07/28 | 10.00                     |
| 69577 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 M | 200,000,000          | 2016/01/25   | 2016/10/28 | 50.00                     |
| 69586 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 N | 200,000,000          | 2016/01/25   | 2016/10/28 | 50.00                     |
| 69584 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 M | 200,000,000          | 2016/01/25   | 2016/12/29 | 50.00                     |
| 69686 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 S | 200,000,000          | 2016/01/25   | 2016/06/29 | 50.00                     |
| 69688 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 I | 200,000,000          | 2016/01/25   | 2016/07/28 | 50.00                     |
| 69712 | UBS AG – HSI R Bull CBBC Nov 2016 H                            | 200,000,000          | 2016/01/25   | 2016/11/29 | 50.00                     |
| 69708 | UBS AG – HSI R Bull CBBC Nov 2016 N                            | 200,000,000          | 2016/01/25   | 2016/11/29 | 50.00                     |
| 69707 | UBS AG – HSI R Bull CBBC Dec 2016 W                            | 200,000,000          | 2016/01/25   | 2016/12/29 | 50.00                     |
| 69715 | UBS AG – HSI R Bull CBBC Jan 2017 N                            | 200,000,000          | 2016/01/25   | 2017/01/26 | 50.00                     |
| 69717 | UBS AG – HSI R Bull CBBC Jan 2017 O                            | 200,000,000          | 2016/01/25   | 2017/01/26 | 50.00                     |
| 69720 | UBS AG – HSI R Bull CBBC Mar 2017 D                            | 200,000,000          | 2016/01/25   | 2017/03/30 | 57.00                     |
| 69724 | UBS AG – HSI R Bull CBBC Mar 2017 E                            | 200,000,000          | 2016/01/25   | 2017/03/30 | 50.00                     |
| 69723 | UBS AG – HSI R Bull CBBC Apr 2017 A                            | 200,000,000          | 2016/01/25   | 2017/04/27 | 70.00                     |
| 69728 | UBS AG – HSI R Bear CBBC Apr 2016 C                            | 200,000,000          | 2016/01/25   | 2016/04/28 | 50.00                     |
| 69732 | UBS AG – HSI R Bear CBBC May 2016 P                            | 200,000,000          | 2016/01/25   | 2016/05/30 | 50.00                     |
| 69790 | UBS AG – HSI R Bear CBBC May 2016 Q                            | 200,000,000          | 2016/01/25   | 2016/05/30 | 50.00                     |
| 60068 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 S       | 250,000,000          | 2016/01/26   | 2016/12/29 | 62.50                     |
| 60059 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 N                  | 200,000,000          | 2016/01/26   | 2016/09/29 | 50.00                     |
| 60060 | Credit Suisse AG – HSI R Bull CBBC Sep 2016 U                  | 200,000,000          | 2016/01/26   | 2016/09/29 | 50.00                     |
| 60037 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 D                  | 200,000,000          | 2016/01/26   | 2016/10/28 | 50.00                     |
| 60034 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 M                  | 200,000,000          | 2016/01/26   | 2016/12/29 | 50.00                     |
| 60031 | Credit Suisse AG – HSI R Bull CBBC Jan 2017 D                  | 200,000,000          | 2016/01/26   | 2017/01/26 | 50.00                     |
| 60035 | Credit Suisse AG – HSI R Bull CBBC Jan 2017 E                  | 200,000,000          | 2016/01/26   | 2017/01/26 | 50.00                     |
| 60039 | Credit Suisse AG – HSI R Bear CBBC May 2016 W                  | 200,000,000          | 2016/01/26   | 2016/05/30 | 50.00                     |
| 60042 | Credit Suisse AG – HSI R Bear CBBC May 2016 X                  | 200,000,000          | 2016/01/26   | 2016/05/30 | 50.00                     |
| 60038 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 C                  | 200,000,000          | 2016/01/26   | 2016/07/28 | 50.00                     |
| 60007 | Bank of East Asia – COVS R Bull CBBC Feb 2017 A                | 30,000,000           | 2016/01/26   | 2017/02/08 | 18.00                     |
| 60011 | Bank of East Asia – CNOOC R Bull CBBC Feb 2017 A               | 40,000,000           | 2016/01/26   | 2017/02/03 | 10.00                     |
| 60013 | Bank of East Asia – Sinopec Corp R Bull CBBC Mar 2017 A        | 80,000,000           | 2016/01/26   | 2017/03/08 | 20.00                     |
| 60012 | Bank of East Asia – Galaxy Ent R Bull CBBC Feb 2017 A          | 25,000,000           | 2016/01/26   | 2017/02/27 | 12.50                     |
| 60000 | HK Bank – ABC R Bull CBBC Dec 2016 C                           | 50,000,000           | 2016/01/26   | 2016/12/30 | 12.50                     |
| 69994 | HK Bank – BOCL R Bull CBBC Dec 2016 F                          | 50,000,000           | 2016/01/26   | 2016/12/30 | 12.50                     |
| 60001 | HK Bank – China Life R Bull CBBC Nov 2016 D                    | 50,000,000           | 2016/01/26   | 2016/11/21 | 25.50                     |
| 60002 | HK Bank – CNOOC R Bull CBBC Jan 2017 B                         | 50,000,000           | 2016/01/26   | 2017/01/11 | 12.50                     |
| 60003 | HK Bank – Sinopec Corp R Bull CBBC Jan 2017 B                  | 50,000,000           | 2016/01/26   | 2017/01/11 | 12.50                     |
| 60004 | HK Bank – HSI R Bear CBBC Aug 2016 Q                           | 150,000,000          | 2016/01/26   | 2016/08/30 | 37.50                     |
| 60093 | J P Morgan SP BV – AIA R Bull CBBC Jan 2017 A                  | 150,000,000          | 2016/01/26   | 2017/01/20 | 37.50                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 60087 | J P Morgan SP BV – CAM CSI300 R Bull CBBC Jan 2017 A           | 150,000,000          | 2016/01/26   | 2017/01/20 | 37.50                     |
| 60111 | J P Morgan SP BV – CSOP A50 ETF R Bull CBBC Apr 2017 C         | 60,000,000           | 2016/01/26   | 2017/04/21 | 15.00                     |
| 60112 | J P Morgan SP BV – A50 China R Bull CBBC Feb 2017 B            | 80,000,000           | 2016/01/26   | 2017/02/17 | 20.00                     |
| 60069 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 F                  | 150,000,000          | 2016/01/26   | 2016/12/29 | 37.50                     |
| 60049 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 Y                  | 200,000,000          | 2016/01/26   | 2016/12/29 | 50.00                     |
| 60071 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 K                  | 200,000,000          | 2016/01/26   | 2017/01/26 | 50.00                     |
| 60072 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 K                  | 150,000,000          | 2016/01/26   | 2016/06/29 | 37.50                     |
| 60047 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 H                  | 200,000,000          | 2016/01/26   | 2016/07/28 | 50.00                     |
| 60053 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 I                  | 200,000,000          | 2016/01/26   | 2016/07/28 | 50.00                     |
| 60073 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 J                  | 150,000,000          | 2016/01/26   | 2016/07/28 | 37.50                     |
| 60075 | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 B                  | 150,000,000          | 2016/01/26   | 2016/08/30 | 37.50                     |
| 60076 | J P Morgan SP BV – Ping An R Bull CBBC Feb 2017 B              | 200,000,000          | 2016/01/26   | 2017/02/17 | 50.00                     |
| 60088 | J P Morgan SP BV – Tencent R Bull CBBC Feb 2017 B              | 60,000,000           | 2016/01/26   | 2017/02/17 | 15.00                     |
| 60062 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Sep16 W | 200,000,000          | 2016/01/26   | 2016/09/29 | 50.00                     |
| 60061 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 L | 200,000,000          | 2016/01/26   | 2016/11/29 | 50.00                     |
| 60015 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 N | 200,000,000          | 2016/01/26   | 2016/12/29 | 50.00                     |
| 60021 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 O | 200,000,000          | 2016/01/26   | 2016/12/29 | 50.00                     |
| 60022 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 J | 200,000,000          | 2016/01/26   | 2016/07/28 | 50.00                     |
| 60024 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 K | 200,000,000          | 2016/01/26   | 2016/07/28 | 50.00                     |
| 60105 | UBS AG – CSOP A50 ETF R Bull CBBC Oct 2016 B                   | 50,000,000           | 2016/01/26   | 2016/10/17 | 12.50                     |
| 60102 | UBS AG – HSBC R Bull CBBC Sep 2017 A                           | 100,000,000          | 2016/01/26   | 2017/09/18 | 25.00                     |
| 60106 | UBS AG – HSI R Bull CBBC Nov 2016 I                            | 200,000,000          | 2016/01/26   | 2016/11/29 | 50.00                     |
| 60108 | UBS AG – HSI R Bull CBBC Jan 2017 P                            | 200,000,000          | 2016/01/26   | 2017/01/26 | 50.00                     |
| 60099 | UBS AG – HSI R Bear CBBC Apr 2016 D                            | 200,000,000          | 2016/01/26   | 2016/04/28 | 50.00                     |
| 60101 | UBS AG – HSI R Bear CBBC May 2016 R                            | 200,000,000          | 2016/01/26   | 2016/05/30 | 50.00                     |
| 60226 | BNP Paribas Arbit Issu B.V. – CAM CSI300 R Bull CBBC Sep16 H   | 50,000,000           | 2016/01/27   | 2016/09/30 | 12.50                     |
| 60221 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Nov 2016 N     | 100,000,000          | 2016/01/27   | 2016/11/29 | 25.00                     |
| 60222 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Dec 2016 N     | 100,000,000          | 2016/01/27   | 2016/12/29 | 25.00                     |
| 60223 | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC Jun 2016 C     | 100,000,000          | 2016/01/27   | 2016/06/29 | 25.00                     |
| 60210 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 A       | 250,000,000          | 2016/01/27   | 2016/11/29 | 62.50                     |
| 60147 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 P       | 250,000,000          | 2016/01/27   | 2016/11/29 | 62.50                     |
| 60208 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 T       | 250,000,000          | 2016/01/27   | 2016/11/29 | 62.50                     |
| 60209 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 Z       | 250,000,000          | 2016/01/27   | 2016/11/29 | 62.50                     |
| 60207 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 A       | 250,000,000          | 2016/01/27   | 2016/12/29 | 75.00                     |
| 60144 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 K       | 250,000,000          | 2016/01/27   | 2016/12/29 | 62.50                     |
| 60205 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 U       | 250,000,000          | 2016/01/27   | 2016/12/29 | 80.00                     |
| 60213 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 E       | 200,000,000          | 2016/01/27   | 2016/05/30 | 50.00                     |
| 60214 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 J       | 200,000,000          | 2016/01/27   | 2016/06/29 | 50.00                     |
| 60216 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 K       | 200,000,000          | 2016/01/27   | 2016/06/29 | 50.00                     |
| 60165 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 A                  | 200,000,000          | 2016/01/27   | 2016/11/29 | 50.00                     |
| 60168 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 J                  | 200,000,000          | 2016/01/27   | 2016/11/29 | 50.00                     |
| 60164 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 L                  | 200,000,000          | 2016/01/27   | 2016/11/29 | 50.00                     |
| 60257 | Credit Suisse AG – HSI R Bull CBBC Feb 2017 B                  | 200,000,000          | 2016/01/27   | 2017/02/27 | 50.00                     |
| 60259 | Credit Suisse AG – HSI R Bull CBBC Feb 2017 C                  | 200,000,000          | 2016/01/27   | 2017/02/27 | 52.00                     |
| 60258 | Credit Suisse AG – HSI R Bull CBBC Mar 2017 A                  | 200,000,000          | 2016/01/27   | 2017/03/30 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                          | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|---|----------------------|--------------|------------|---------------------------|
| 60260 | Credit Suisse AG – HSI R Bull CBBC Mar 2017 B         | 200,000,000          | 2016/01/27   | 2017/03/30 | 62.00                     |
| 60277 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 R         | 200,000,000          | 2016/01/27   | 2016/06/29 | 50.00                     |
| 60283 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 S         | 200,000,000          | 2016/01/27   | 2016/06/29 | 50.00                     |
| 60281 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 D         | 200,000,000          | 2016/01/27   | 2016/07/28 | 50.00                     |
| 60140 | Bank of East Asia – BOCL R Bull CBBC Feb 2017 A       | 60,000,000           | 2016/01/27   | 2017/02/14 | 15.00                     |
| 60129 | Bank of East Asia – CITIC R Bull CBBC Feb 2017 A      | 40,000,000           | 2016/01/27   | 2017/02/06 | 14.00                     |
| 60132 | Bank of East Asia – China Life R Bull CBBC Feb 2017 A | 30,000,000           | 2016/01/27   | 2017/02/10 | 15.00                     |
| 60134 | Bank of East Asia – CM Bank R Bull CBBC Feb 2017 A    | 40,000,000           | 2016/01/27   | 2017/02/13 | 10.00                     |
| 60130 | Bank of East Asia – HKEX R Bull CBBC Feb 2017 A       | 40,000,000           | 2016/01/27   | 2017/02/09 | 10.00                     |
| 60114 | HK Bank – China Life R Bear CBBC Nov 2016 B           | 40,000,000           | 2016/01/27   | 2016/11/28 | 15.20                     |
| 60116 | HK Bank – A50 R Bull CBBC Dec 2016 E                  | 50,000,000           | 2016/01/27   | 2016/12/30 | 12.50                     |
| 60126 | HK Bank – HSCEI R Bull CBBC Nov 2016 M                | 60,000,000           | 2016/01/27   | 2016/11/29 | 15.00                     |
| 60190 | HK Bank – HSCEI R Bear CBBC Aug 2016 K                | 50,000,000           | 2016/01/27   | 2016/08/30 | 12.50                     |
| 60120 | HK Bank – HSI R Bull CBBC Dec 2016 M                  | 150,000,000          | 2016/01/27   | 2016/12/29 | 37.50                     |
| 60191 | HK Bank – HSI R Bear CBBC Aug 2016 R                  | 150,000,000          | 2016/01/27   | 2016/08/30 | 37.50                     |
| 60128 | HK Bank – Ping An R Bull CBBC Oct 2016 K              | 50,000,000           | 2016/01/27   | 2016/10/31 | 12.50                     |
| 60113 | HK Bank – TCH R Bull CBBC Dec 2016 C                  | 50,000,000           | 2016/01/27   | 2016/12/12 | 12.50                     |
| 60365 | J P Morgan SP BV – China Life R Bull CBBC Feb 2017 A  | 30,000,000           | 2016/01/27   | 2017/02/17 | 10.50                     |
| 60348 | J P Morgan SP BV – HKEX R Bull CBBC Jun 2017 A        | 40,000,000           | 2016/01/27   | 2017/06/16 | 10.00                     |
| 60349 | J P Morgan SP BV – HKEX R Bull CBBC Jul 2017 A        | 40,000,000           | 2016/01/27   | 2017/07/21 | 10.00                     |
| 60367 | J P Morgan SP BV – HKEX R Bear CBBC Feb 2017 A        | 40,000,000           | 2016/01/27   | 2017/02/17 | 10.40                     |
| 60338 | J P Morgan SP BV – HSCEI R Bull CBBC Jan 2017 D       | 100,000,000          | 2016/01/27   | 2017/01/26 | 25.00                     |
| 60339 | J P Morgan SP BV – HSCEI R Bull CBBC Sep 2017 A       | 100,000,000          | 2016/01/27   | 2017/09/28 | 25.00                     |
| 60332 | J P Morgan SP BV – HSI R Bull CBBC Aug 2016 E         | 200,000,000          | 2016/01/27   | 2016/08/30 | 50.00                     |
| 60334 | J P Morgan SP BV – HSI R Bull CBBC Sep 2016 B         | 200,000,000          | 2016/01/27   | 2016/09/29 | 50.00                     |
| 60169 | J P Morgan SP BV – HSI R Bull CBBC Oct 2016 R         | 150,000,000          | 2016/01/27   | 2016/10/28 | 37.50                     |
| 60335 | J P Morgan SP BV – HSI R Bull CBBC Oct 2016 Z         | 200,000,000          | 2016/01/27   | 2016/10/28 | 50.00                     |
| 60170 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 T         | 150,000,000          | 2016/01/27   | 2016/11/29 | 37.50                     |
| 60184 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 H         | 200,000,000          | 2016/01/27   | 2016/12/29 | 50.00                     |
| 60189 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 L         | 200,000,000          | 2016/01/27   | 2017/01/26 | 50.00                     |
| 60327 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 I         | 150,000,000          | 2016/01/27   | 2017/02/27 | 37.50                     |
| 60328 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 G         | 150,000,000          | 2016/01/27   | 2017/03/30 | 37.50                     |
| 60331 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 E         | 150,000,000          | 2016/01/27   | 2017/04/27 | 37.50                     |
| 60336 | J P Morgan SP BV – HSI R Bull CBBC Nov 2017 A         | 200,000,000          | 2016/01/27   | 2017/11/29 | 60.00                     |
| 60337 | J P Morgan SP BV – HSI R Bull CBBC Dec 2017 B         | 200,000,000          | 2016/01/27   | 2017/12/28 | 80.00                     |
| 60320 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 L         | 150,000,000          | 2016/01/27   | 2016/06/29 | 37.50                     |
| 60289 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 K         | 200,000,000          | 2016/01/27   | 2016/07/28 | 50.00                     |
| 60324 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 L         | 150,000,000          | 2016/01/27   | 2016/07/28 | 37.50                     |
| 60290 | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 C         | 200,000,000          | 2016/01/27   | 2016/08/30 | 50.00                     |
| 60355 | J P Morgan SP BV – Tencent R Bear CBBC Feb 2017 B     | 50,000,000           | 2016/01/27   | 2017/02/17 | 12.50                     |
| 60300 | Macquarie Bank Ltd. – HSI R Bull CBBC Oct 2016 A      | 40,000,000           | 2016/01/27   | 2016/10/28 | 10.40                     |
| 60302 | Macquarie Bank Ltd. – HSI R Bull CBBC Oct 2016 B      | 40,000,000           | 2016/01/27   | 2016/10/28 | 10.08                     |
| 60309 | Macquarie Bank Ltd. – HSI R Bull CBBC Nov 2016 A      | 40,000,000           | 2016/01/27   | 2016/11/29 | 10.00                     |
| 60311 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 N      | 40,000,000           | 2016/01/27   | 2016/07/28 | 10.40                     |
| 60315 | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2016 O      | 40,000,000           | 2016/01/27   | 2016/07/28 | 10.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 60317 | Macquarie Bank Ltd. – HSI R Bear CBBC Aug 2016 A               | 40,000,000           | 2016/01/27   | 2016/08/30 | 10.20                     |
| 60312 | Macquarie Bank Ltd. – HSI R Bear CBBC Sep 2016 A               | 40,000,000           | 2016/01/27   | 2016/09/29 | 10.00                     |
| 60158 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Sep16 X | 200,000,000          | 2016/01/27   | 2016/09/29 | 50.00                     |
| 60163 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Sep16 Z | 200,000,000          | 2016/01/27   | 2016/09/29 | 50.00                     |
| 60199 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 O | 200,000,000          | 2016/01/27   | 2016/10/28 | 50.00                     |
| 60152 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 M | 200,000,000          | 2016/01/27   | 2016/11/29 | 50.00                     |
| 60148 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 P | 200,000,000          | 2016/01/27   | 2016/12/29 | 60.00                     |
| 60192 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 Q | 200,000,000          | 2016/01/27   | 2016/12/29 | 62.00                     |
| 60193 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 R | 200,000,000          | 2016/01/27   | 2016/12/29 | 58.00                     |
| 60196 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 S | 200,000,000          | 2016/01/27   | 2016/12/29 | 54.00                     |
| 60197 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 T | 200,000,000          | 2016/01/27   | 2016/12/29 | 50.00                     |
| 60200 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 L | 200,000,000          | 2016/01/27   | 2016/07/28 | 50.00                     |
| 60201 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 M | 200,000,000          | 2016/01/27   | 2016/07/28 | 50.00                     |
| 60227 | UBS AG – HSCEI R Bull CBBC Feb 2017 B                          | 200,000,000          | 2016/01/27   | 2017/02/27 | 50.00                     |
| 60233 | UBS AG – HSCEI R Bear CBBC Apr 2016 D                          | 100,000,000          | 2016/01/27   | 2016/04/28 | 25.00                     |
| 60234 | UBS AG – HSI R Bull CBBC Dec 2016 E                            | 200,000,000          | 2016/01/27   | 2016/12/29 | 50.00                     |
| 60237 | UBS AG – HSI R Bull CBBC Jan 2017 Q                            | 200,000,000          | 2016/01/27   | 2017/01/26 | 50.00                     |
| 60240 | UBS AG – HSI R Bull CBBC Jan 2017 R                            | 200,000,000          | 2016/01/27   | 2017/01/26 | 50.00                     |
| 60242 | UBS AG – HSI R Bull CBBC Jan 2017 S                            | 200,000,000          | 2016/01/27   | 2017/01/26 | 50.00                     |
| 60235 | UBS AG – HSI R Bull CBBC Feb 2017 Q                            | 200,000,000          | 2016/01/27   | 2017/02/27 | 50.00                     |
| 60243 | UBS AG – HSI R Bull CBBC Feb 2017 R                            | 200,000,000          | 2016/01/27   | 2017/02/27 | 50.00                     |
| 60245 | UBS AG – HSI R Bull CBBC Feb 2017 S                            | 200,000,000          | 2016/01/27   | 2017/02/27 | 50.00                     |
| 60248 | UBS AG – HSI R Bull CBBC Mar 2017 F                            | 200,000,000          | 2016/01/27   | 2017/03/30 | 50.00                     |
| 60249 | UBS AG – HSI R Bull CBBC Apr 2017 B                            | 200,000,000          | 2016/01/27   | 2017/04/27 | 50.00                     |
| 60250 | UBS AG – HSI R Bull CBBC Jun 2017 B                            | 200,000,000          | 2016/01/27   | 2017/06/29 | 92.00                     |
| 60251 | UBS AG – HSI R Bull CBBC Jul 2017 A                            | 200,000,000          | 2016/01/27   | 2017/07/28 | 53.00                     |
| 60252 | UBS AG – HSI R Bear CBBC May 2016 S                            | 200,000,000          | 2016/01/27   | 2016/05/30 | 50.00                     |
| 60254 | UBS AG – HSI R Bear CBBC May 2016 T                            | 200,000,000          | 2016/01/27   | 2016/05/30 | 50.00                     |
| 60255 | UBS AG – HSI R Bear CBBC May 2016 U                            | 200,000,000          | 2016/01/27   | 2016/05/30 | 50.00                     |
| 60256 | UBS AG – HSI R Bear CBBC May 2016 V                            | 200,000,000          | 2016/01/27   | 2016/05/30 | 50.00                     |
| 60613 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Nov 2016 O     | 100,000,000          | 2016/01/28   | 2016/11/29 | 25.00                     |
| 60614 | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC May 2016 H     | 100,000,000          | 2016/01/28   | 2016/05/30 | 25.00                     |
| 60451 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 F       | 250,000,000          | 2016/01/28   | 2016/11/29 | 62.50                     |
| 60450 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 H       | 250,000,000          | 2016/01/28   | 2016/11/29 | 62.50                     |
| 60586 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 N       | 250,000,000          | 2016/01/28   | 2016/11/29 | 82.50                     |
| 60594 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 V       | 250,000,000          | 2016/01/28   | 2016/11/29 | 62.50                     |
| 60449 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 C       | 250,000,000          | 2016/01/28   | 2016/12/29 | 62.50                     |
| 60590 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 G       | 250,000,000          | 2016/01/28   | 2016/12/29 | 75.00                     |
| 60592 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 T       | 250,000,000          | 2016/01/28   | 2016/12/29 | 62.50                     |
| 60593 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 V       | 250,000,000          | 2016/01/28   | 2016/12/29 | 62.50                     |
| 60611 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 D       | 200,000,000          | 2016/01/28   | 2016/05/30 | 50.00                     |
| 60600 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 L       | 200,000,000          | 2016/01/28   | 2016/06/29 | 50.00                     |
| 60604 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 M       | 200,000,000          | 2016/01/28   | 2016/06/29 | 50.00                     |
| 60506 | Credit Suisse AG – HSCEI R Bear CBBC May 2016 C                | 100,000,000          | 2016/01/28   | 2016/05/30 | 25.00                     |
| 60509 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 U                  | 200,000,000          | 2016/01/28   | 2016/10/28 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                           | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 60511 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 V          | 200,000,000          | 2016/01/28   | 2016/10/28 | 50.00                     |
| 60515 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 N          | 200,000,000          | 2016/01/28   | 2016/12/29 | 50.00                     |
| 60513 | Credit Suisse AG – HSI R Bull CBBC Feb 2017 D          | 200,000,000          | 2016/01/28   | 2017/02/27 | 64.00                     |
| 60508 | Credit Suisse AG – HSI R Bear CBBC May 2016 Y          | 200,000,000          | 2016/01/28   | 2016/05/30 | 50.00                     |
| 60574 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 T          | 200,000,000          | 2016/01/28   | 2016/06/29 | 50.00                     |
| 60575 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 U          | 200,000,000          | 2016/01/28   | 2016/06/29 | 50.00                     |
| 60581 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 E          | 200,000,000          | 2016/01/28   | 2016/07/28 | 50.00                     |
| 60661 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 V   | 200,000,000          | 2016/01/28   | 2016/09/29 | 57.40                     |
| 60674 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 W   | 200,000,000          | 2016/01/28   | 2016/09/29 | 56.00                     |
| 60675 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 X   | 200,000,000          | 2016/01/28   | 2016/09/29 | 54.40                     |
| 60679 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 Y   | 200,000,000          | 2016/01/28   | 2016/09/29 | 52.20                     |
| 60692 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 Z   | 200,000,000          | 2016/01/28   | 2016/09/29 | 51.20                     |
| 60395 | HK Bank – ABC R Bull CBBC Aug 2017 A                   | 50,000,000           | 2016/01/28   | 2017/08/07 | 12.50                     |
| 60399 | HK Bank – AIA R Bull CBBC Jun 2017 A                   | 40,000,000           | 2016/01/28   | 2017/06/30 | 50.00                     |
| 60390 | HK Bank – CC Bank R Bull CBBC Dec 2017 A               | 50,000,000           | 2016/01/28   | 2017/12/12 | 12.50                     |
| 60377 | HK Bank – CC Bank R Bear CBBC Apr 2017 A               | 40,000,000           | 2016/01/28   | 2017/04/28 | 10.00                     |
| 60368 | HK Bank – CKH R Bull CBBC Jun 2017 A                   | 40,000,000           | 2016/01/28   | 2017/06/26 | 10.00                     |
| 60369 | HK Bank – CKH R Bear CBBC Jun 2017 A                   | 40,000,000           | 2016/01/28   | 2017/06/26 | 10.00                     |
| 60411 | HK Bank – CM Bank R Bull CBBC Jan 2017 A               | 40,000,000           | 2016/01/28   | 2017/01/16 | 14.00                     |
| 60378 | HK Bank – Galaxy Ent R Bull CBBC Jun 2017 A            | 40,000,000           | 2016/01/28   | 2017/06/26 | 10.00                     |
| 60412 | HK Bank – HS H-SH ETF R Bull CBBC Jul 2017 A           | 50,000,000           | 2016/01/28   | 2017/07/31 | 12.50                     |
| 60391 | HK Bank – HSI R Bull CBBC Nov 2016 O                   | 150,000,000          | 2016/01/28   | 2016/11/29 | 37.50                     |
| 60393 | HK Bank – HSI R Bull CBBC Nov 2016 P                   | 150,000,000          | 2016/01/28   | 2016/11/29 | 37.50                     |
| 60398 | HK Bank – HSI R Bull CBBC Dec 2016 N                   | 150,000,000          | 2016/01/28   | 2016/12/29 | 37.50                     |
| 60424 | HK Bank – HSI R Bull CBBC Dec 2016 O                   | 150,000,000          | 2016/01/28   | 2016/12/29 | 37.50                     |
| 60428 | HK Bank – HSI R Bull CBBC Mar 2017 A                   | 150,000,000          | 2016/01/28   | 2017/03/30 | 46.50                     |
| 60401 | HK Bank – ICBC R Bull CBBC Jul 2017 A                  | 50,000,000           | 2016/01/28   | 2017/07/31 | 12.50                     |
| 60405 | HK Bank – ICBC R Bear CBBC Apr 2017 A                  | 40,000,000           | 2016/01/28   | 2017/04/28 | 10.00                     |
| 60410 | HK Bank – Ping An R Bear CBBC Dec 2016 A               | 40,000,000           | 2016/01/28   | 2016/12/30 | 10.00                     |
| 60381 | HK Bank – Sands China R Bull CBBC Jul 2017 A           | 40,000,000           | 2016/01/28   | 2017/07/31 | 10.00                     |
| 60373 | HK Bank – SHK Ppt R Bull CBBC Jun 2017 A               | 40,000,000           | 2016/01/28   | 2017/06/26 | 10.00                     |
| 60376 | HK Bank – SHK Ppt R Bear CBBC Jun 2017 A               | 40,000,000           | 2016/01/28   | 2017/06/26 | 10.00                     |
| 60388 | HK Bank – TCH R Bull CBBC Jun 2017 A                   | 50,000,000           | 2016/01/28   | 2017/06/26 | 19.50                     |
| 60619 | J P Morgan SP BV – ABC R Bull CBBC Aug 2017 A          | 150,000,000          | 2016/01/28   | 2017/08/18 | 37.50                     |
| 60625 | J P Morgan SP BV – CNOOC R Bull CBBC Feb 2017 A        | 68,000,000           | 2016/01/28   | 2017/02/17 | 17.00                     |
| 60622 | J P Morgan SP BV – Sinopec Corp R Bull CBBC Feb 2017 A | 100,000,000          | 2016/01/28   | 2017/02/17 | 25.00                     |
| 60615 | J P Morgan SP BV – HKEX R Bull CBBC Sep 2017 A         | 40,000,000           | 2016/01/28   | 2017/09/15 | 10.00                     |
| 60616 | J P Morgan SP BV – HKEX R Bear CBBC Jan 2017 A         | 40,000,000           | 2016/01/28   | 2017/01/20 | 10.00                     |
| 60655 | J P Morgan SP BV – HSCEI R Bull CBBC Dec 2017 A        | 100,000,000          | 2016/01/28   | 2017/12/28 | 25.00                     |
| 60652 | J P Morgan SP BV – HSCEI R Bear CBBC May 2016 D        | 100,000,000          | 2016/01/28   | 2016/05/30 | 25.00                     |
| 60530 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 O          | 200,000,000          | 2016/01/28   | 2017/01/26 | 50.00                     |
| 60626 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 H          | 150,000,000          | 2016/01/28   | 2017/03/30 | 37.50                     |
| 60531 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 F          | 200,000,000          | 2016/01/28   | 2017/04/27 | 50.00                     |
| 60627 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 G          | 150,000,000          | 2016/01/28   | 2017/04/27 | 37.50                     |
| 60629 | J P Morgan SP BV – HSI R Bull CBBC Jul 2017 C          | 200,000,000          | 2016/01/28   | 2017/07/28 | 50.00                     |

## MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 60630 | J P Morgan SP BV – HSI R Bull CBBC Sep 2017 B                  | 200,000,000          | 2016/01/28   | 2017/09/28 | 50.00                     |
| 60632 | J P Morgan SP BV – HSI R Bull CBBC Nov 2017 B                  | 200,000,000          | 2016/01/28   | 2017/11/29 | 50.00                     |
| 60635 | J P Morgan SP BV – HSI R Bull CBBC Dec 2017 C                  | 200,000,000          | 2016/01/28   | 2017/12/28 | 50.00                     |
| 60527 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 M                  | 200,000,000          | 2016/01/28   | 2016/06/29 | 50.00                     |
| 60636 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 N                  | 200,000,000          | 2016/01/28   | 2016/06/29 | 50.00                     |
| 60645 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 M                  | 200,000,000          | 2016/01/28   | 2016/07/28 | 50.00                     |
| 60651 | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 D                  | 200,000,000          | 2016/01/28   | 2016/08/30 | 50.00                     |
| 60656 | Macquarie Bank Ltd. – HSI R Bear CBBC Aug 2016 B               | 40,000,000           | 2016/01/28   | 2016/08/30 | 10.00                     |
| 60456 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 N | 200,000,000          | 2016/01/28   | 2016/11/29 | 60.00                     |
| 60464 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 O | 200,000,000          | 2016/01/28   | 2016/11/29 | 56.00                     |
| 60475 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 P | 200,000,000          | 2016/01/28   | 2016/11/29 | 52.00                     |
| 60481 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 Q | 200,000,000          | 2016/01/28   | 2016/11/29 | 50.00                     |
| 60483 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 R | 200,000,000          | 2016/01/28   | 2016/11/29 | 50.00                     |
| 60487 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 S | 200,000,000          | 2016/01/28   | 2016/11/29 | 50.00                     |
| 60490 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 T | 200,000,000          | 2016/01/28   | 2016/11/29 | 50.00                     |
| 60491 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 U | 200,000,000          | 2016/01/28   | 2016/11/29 | 50.00                     |
| 60429 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 A | 200,000,000          | 2016/01/28   | 2016/04/28 | 50.00                     |
| 60431 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 B | 200,000,000          | 2016/01/28   | 2016/04/28 | 50.00                     |
| 60436 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 C | 200,000,000          | 2016/01/28   | 2016/04/28 | 50.00                     |
| 60447 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Apr16 R | 200,000,000          | 2016/01/28   | 2016/04/28 | 50.00                     |
| 60448 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 A | 400,000,000          | 2016/01/28   | 2016/08/30 | 100.00                    |
| 60532 | UBS AG – HKEX R Bull CBBC Oct 2016 E                           | 100,000,000          | 2016/01/28   | 2016/10/24 | 34.50                     |
| 60551 | UBS AG – HSBC R Bull CBBC Nov 2017 A                           | 100,000,000          | 2016/01/28   | 2017/11/20 | 25.00                     |
| 60542 | UBS AG – HSI R Bull CBBC Dec 2016 F                            | 200,000,000          | 2016/01/28   | 2016/12/29 | 50.00                     |
| 60545 | UBS AG – HSI R Bull CBBC Dec 2016 I                            | 200,000,000          | 2016/01/28   | 2016/12/29 | 50.00                     |
| 60544 | UBS AG – HSI R Bull CBBC Jan 2017 T                            | 200,000,000          | 2016/01/28   | 2017/01/26 | 50.00                     |
| 60538 | UBS AG – HSI R Bull CBBC Mar 2017 G                            | 200,000,000          | 2016/01/28   | 2017/03/30 | 50.00                     |
| 60541 | UBS AG – HSI R Bull CBBC Mar 2017 H                            | 200,000,000          | 2016/01/28   | 2017/03/30 | 54.00                     |
| 60548 | UBS AG – HSI R Bull CBBC Mar 2017 I                            | 200,000,000          | 2016/01/28   | 2017/03/30 | 62.00                     |
| 60550 | UBS AG – HSI R Bull CBBC Jun 2017 C                            | 200,000,000          | 2016/01/28   | 2017/06/29 | 74.00                     |
| 60536 | UBS AG – HSI R Bear CBBC May 2016 W                            | 200,000,000          | 2016/01/28   | 2016/05/30 | 50.00                     |
| 60567 | UBS AG – HSI R Bear CBBC May 2016 X                            | 200,000,000          | 2016/01/28   | 2016/05/30 | 50.00                     |
| 60568 | UBS AG – HSI R Bear CBBC May 2016 Y                            | 200,000,000          | 2016/01/28   | 2016/05/30 | 50.00                     |
| 60826 | Credit Suisse AG – HKEX R Bull CBBC Sep 2016 B                 | 100,000,000          | 2016/01/29   | 2016/09/30 | 26.00                     |
| 60828 | Credit Suisse AG – HKEX R Bear CBBC Jul 2016 A                 | 90,000,000           | 2016/01/29   | 2016/07/29 | 22.50                     |
| 60829 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 O                  | 200,000,000          | 2016/01/29   | 2016/12/29 | 50.00                     |
| 60831 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 P                  | 200,000,000          | 2016/01/29   | 2016/12/29 | 50.00                     |
| 60832 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 Q                  | 200,000,000          | 2016/01/29   | 2016/12/29 | 50.00                     |
| 60794 | Credit Suisse AG – HSI R Bear CBBC May 2016 Z                  | 200,000,000          | 2016/01/29   | 2016/05/30 | 50.00                     |
| 60803 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 V                  | 200,000,000          | 2016/01/29   | 2016/06/29 | 50.00                     |
| 60737 | HK Bank – CITIC Sec R Bull CBBC Sep 2017 A                     | 40,000,000           | 2016/01/29   | 2017/09/04 | 18.80                     |
| 60766 | HK Bank – CNOOC R Bear CBBC Jul 2017 A                         | 40,000,000           | 2016/01/29   | 2017/07/31 | 10.00                     |
| 60764 | HK Bank – HKEX R Bear CBBC Jun 2017 A                          | 40,000,000           | 2016/01/29   | 2017/06/26 | 10.00                     |
| 60726 | HK Bank – HSCEI R Bull CBBC Nov 2016 N                         | 60,000,000           | 2016/01/29   | 2016/11/29 | 15.00                     |
| 60727 | HK Bank – HSCEI R Bull CBBC Dec 2016 H                         | 60,000,000           | 2016/01/29   | 2016/12/29 | 15.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 60706 | HK Bank – HSI R Bull CBBC Sep 2016 E                           | 150,000,000          | 2016/01/29   | 2016/09/29 | 37.50                     |
| 60707 | HK Bank – HSI R Bull CBBC Oct 2016 U                           | 150,000,000          | 2016/01/29   | 2016/10/28 | 37.50                     |
| 60713 | HK Bank – HSI R Bull CBBC Nov 2016 Q                           | 150,000,000          | 2016/01/29   | 2016/11/29 | 37.50                     |
| 60720 | HK Bank – HSI R Bull CBBC Dec 2016 P                           | 150,000,000          | 2016/01/29   | 2016/12/29 | 37.50                     |
| 60705 | HK Bank – HSI R Bear CBBC Sep 2016 N                           | 150,000,000          | 2016/01/29   | 2016/09/29 | 37.50                     |
| 60763 | HK Bank – Haitong Sec R Bull CBBC Aug 2017 A                   | 40,000,000           | 2016/01/29   | 2017/08/31 | 14.40                     |
| 60733 | HK Bank – PetCh R Bear CBBC Jul 2017 A                         | 40,000,000           | 2016/01/29   | 2017/07/31 | 10.00                     |
| 60729 | HK Bank – TCH R Bull CBBC Nov 2016 G                           | 50,000,000           | 2016/01/29   | 2016/11/28 | 12.50                     |
| 60701 | HK Bank – TCH R Bull CBBC Dec 2016 D                           | 50,000,000           | 2016/01/29   | 2016/12/05 | 15.50                     |
| 60704 | HK Bank – TCH R Bear CBBC Nov 2016 C                           | 40,000,000           | 2016/01/29   | 2016/11/14 | 10.00                     |
| 60908 | J P Morgan SP BV – CKH R Bull CBBC Jun 2017 A                  | 40,000,000           | 2016/01/29   | 2017/06/16 | 10.00                     |
| 60914 | J P Morgan SP BV – CKH R Bull CBBC Jul 2017 A                  | 40,000,000           | 2016/01/29   | 2017/07/21 | 10.00                     |
| 60916 | J P Morgan SP BV – China Life R Bull CBBC Mar 2017 A           | 40,000,000           | 2016/01/29   | 2017/03/17 | 10.00                     |
| 60894 | J P Morgan SP BV – HKEX R Bull CBBC Jan 2017 B                 | 40,000,000           | 2016/01/29   | 2017/01/20 | 10.00                     |
| 60897 | J P Morgan SP BV – HKEX R Bull CBBC Oct 2017 A                 | 40,000,000           | 2016/01/29   | 2017/10/20 | 12.00                     |
| 60899 | J P Morgan SP BV – HSBC R Bull CBBC Nov 2017 A                 | 100,000,000          | 2016/01/29   | 2017/11/17 | 25.00                     |
| 60859 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 J                  | 200,000,000          | 2016/01/29   | 2017/02/27 | 50.00                     |
| 60865 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 H                  | 200,000,000          | 2016/01/29   | 2017/04/27 | 50.00                     |
| 60868 | J P Morgan SP BV – HSI R Bull CBBC May 2017 E                  | 150,000,000          | 2016/01/29   | 2017/05/29 | 37.50                     |
| 60891 | J P Morgan SP BV – HSI R Bull CBBC Jan 2018 A                  | 200,000,000          | 2016/01/29   | 2018/01/30 | 70.00                     |
| 60782 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 O                  | 200,000,000          | 2016/01/29   | 2016/06/29 | 50.00                     |
| 60893 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 P                  | 150,000,000          | 2016/01/29   | 2016/06/29 | 37.50                     |
| 60783 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 N                  | 200,000,000          | 2016/01/29   | 2016/07/28 | 50.00                     |
| 60898 | J P Morgan SP BV – PetCh R Bull CBBC Jan 2017 A                | 70,000,000           | 2016/01/29   | 2017/01/20 | 17.50                     |
| 60785 | Macquarie Bank Ltd. – HSI R Bull CBBC Sep 2016 A               | 40,000,000           | 2016/01/29   | 2016/09/29 | 10.00                     |
| 60786 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 P | 200,000,000          | 2016/01/29   | 2016/10/28 | 50.00                     |
| 60767 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 B | 200,000,000          | 2016/01/29   | 2016/05/30 | 50.00                     |
| 60770 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 E | 200,000,000          | 2016/01/29   | 2016/05/30 | 50.00                     |
| 60790 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 G | 200,000,000          | 2016/01/29   | 2016/05/30 | 50.00                     |
| 60792 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 H | 200,000,000          | 2016/01/29   | 2016/05/30 | 50.00                     |
| 60769 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 N | 200,000,000          | 2016/01/29   | 2016/07/28 | 50.00                     |
| 60846 | UBS AG – HSI R Bull CBBC Dec 2016 X                            | 200,000,000          | 2016/01/29   | 2016/12/29 | 50.00                     |
| 60855 | UBS AG – HSI R Bull CBBC Dec 2016 Y                            | 200,000,000          | 2016/01/29   | 2016/12/29 | 50.00                     |
| 60849 | UBS AG – HSI R Bull CBBC Jan 2017 U                            | 200,000,000          | 2016/01/29   | 2017/01/26 | 50.00                     |
| 60847 | UBS AG – HSI R Bull CBBC Feb 2017 T                            | 200,000,000          | 2016/01/29   | 2017/02/27 | 50.00                     |
| 60839 | UBS AG – HSI R Bear CBBC Jun 2016 A                            | 200,000,000          | 2016/01/29   | 2016/06/29 | 50.00                     |
| 60843 | UBS AG – HSI R Bear CBBC Jun 2016 B                            | 200,000,000          | 2016/01/29   | 2016/06/29 | 50.00                     |
| 61048 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 C       | 250,000,000          | 2016/02/01   | 2016/11/29 | 62.50                     |
| 60957 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 W       | 250,000,000          | 2016/02/01   | 2016/12/29 | 62.50                     |
| 60958 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 N       | 200,000,000          | 2016/02/01   | 2016/06/29 | 50.00                     |
| 61060 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 K                  | 200,000,000          | 2016/02/01   | 2016/11/29 | 50.00                     |
| 61072 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 U                  | 200,000,000          | 2016/02/01   | 2016/11/29 | 50.00                     |
| 61059 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 R                  | 200,000,000          | 2016/02/01   | 2016/12/29 | 50.00                     |
| 61066 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 S                  | 200,000,000          | 2016/02/01   | 2016/12/29 | 50.00                     |
| 61049 | Credit Suisse AG – HSI R Bear CBBC May 2016 V                  | 200,000,000          | 2016/02/01   | 2016/05/30 | 50.00                     |



# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 61054 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 F                  | 200,000,000          | 2016/02/01   | 2016/07/28 | 50.00                     |
| 61058 | Credit Suisse AG – Tracker Fund R Bull CBBC Sep 2016 B         | 70,000,000           | 2016/02/01   | 2016/09/30 | 17.50                     |
| 60936 | Bank of East Asia – ABC R Bull CBBC Jan 2017 A                 | 60,000,000           | 2016/02/01   | 2017/01/13 | 15.00                     |
| 60948 | Bank of East Asia – HKEX R Bull CBBC Jan 2017 B                | 40,000,000           | 2016/02/01   | 2017/01/10 | 10.00                     |
| 60951 | Bank of East Asia – HKEX R Bear CBBC Jan 2017 A                | 35,000,000           | 2016/02/01   | 2017/01/09 | 10.50                     |
| 60942 | Bank of East Asia – ICBC R Bull CBBC Jan 2017 A                | 60,000,000           | 2016/02/01   | 2017/01/12 | 15.00                     |
| 60943 | Bank of East Asia – Ping An R Bull CBBC Jan 2017 B             | 20,000,000           | 2016/02/01   | 2017/01/11 | 14.00                     |
| 61074 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 A           | 200,000,000          | 2016/02/01   | 2016/09/29 | 50.40                     |
| 61078 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 B           | 200,000,000          | 2016/02/01   | 2016/09/29 | 53.40                     |
| 61082 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 C           | 200,000,000          | 2016/02/01   | 2016/09/29 | 55.40                     |
| 61077 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 D           | 200,000,000          | 2016/02/01   | 2016/09/29 | 52.40                     |
| 61088 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 G           | 200,000,000          | 2016/02/01   | 2016/09/29 | 57.20                     |
| 60919 | HK Bank – China Life R Bull CBBC Dec 2016 A                    | 50,000,000           | 2016/02/01   | 2016/12/05 | 24.00                     |
| 60922 | HK Bank – HKEX R Bull CBBC Dec 2016 C                          | 50,000,000           | 2016/02/01   | 2016/12/05 | 12.50                     |
| 60918 | HK Bank – HSCEI R Bull CBBC Dec 2016 I                         | 60,000,000           | 2016/02/01   | 2016/12/29 | 15.00                     |
| 60928 | HK Bank – HSI R Bull CBBC Oct 2016 V                           | 150,000,000          | 2016/02/01   | 2016/10/28 | 37.50                     |
| 60917 | HK Bank – HSI R Bear CBBC Mar 2017 A                           | 400,000,000          | 2016/02/01   | 2017/03/30 | 100.00                    |
| 60929 | HK Bank – HSI R Bear CBBC Mar 2017 B                           | 400,000,000          | 2016/02/01   | 2017/03/30 | 100.00                    |
| 60925 | HK Bank – PetCh R Bull CBBC Dec 2016 H                         | 50,000,000           | 2016/02/01   | 2016/12/12 | 12.50                     |
| 60927 | HK Bank – Sands China R Bull CBBC Dec 2016 D                   | 40,000,000           | 2016/02/01   | 2016/12/12 | 12.40                     |
| 61117 | J P Morgan SP BV – CNOOC R Bull CBBC Jul 2017 A                | 50,000,000           | 2016/02/01   | 2017/07/21 | 12.50                     |
| 61111 | J P Morgan SP BV – HSBC R Bull CBBC Jun 2017 A                 | 100,000,000          | 2016/02/01   | 2017/06/16 | 25.00                     |
| 61073 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 K                  | 150,000,000          | 2016/02/01   | 2017/02/27 | 37.50                     |
| 61089 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 I                  | 150,000,000          | 2016/02/01   | 2017/03/30 | 37.50                     |
| 61097 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 I                  | 150,000,000          | 2016/02/01   | 2017/04/27 | 37.50                     |
| 60968 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 Q                  | 150,000,000          | 2016/02/01   | 2016/06/29 | 37.50                     |
| 60974 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 R                  | 150,000,000          | 2016/02/01   | 2016/06/29 | 37.50                     |
| 61105 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 O                  | 150,000,000          | 2016/02/01   | 2016/07/28 | 37.50                     |
| 61106 | J P Morgan SP BV – Tencent R Bull CBBC Feb 2017 C              | 50,000,000           | 2016/02/01   | 2017/02/17 | 12.50                     |
| 61016 | Macquarie Bank Ltd. – HSI R Bull CBBC Aug 2016 A               | 40,000,000           | 2016/02/01   | 2016/08/30 | 10.00                     |
| 61007 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 S | 200,000,000          | 2016/02/01   | 2016/10/28 | 50.00                     |
| 60990 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 V | 200,000,000          | 2016/02/01   | 2016/11/29 | 50.00                     |
| 60998 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 W | 200,000,000          | 2016/02/01   | 2016/11/29 | 50.00                     |
| 60999 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 U | 200,000,000          | 2016/02/01   | 2016/12/29 | 50.00                     |
| 61009 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 O | 200,000,000          | 2016/02/01   | 2016/05/30 | 50.00                     |
| 61013 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 U | 200,000,000          | 2016/02/01   | 2016/05/30 | 50.00                     |
| 61015 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 W | 200,000,000          | 2016/02/01   | 2016/05/30 | 50.00                     |
| 61031 | UBS AG – HSI R Bull CBBC Nov 2016 K                            | 200,000,000          | 2016/02/01   | 2016/11/29 | 50.00                     |
| 61042 | UBS AG – HSI R Bull CBBC Dec 2016 D                            | 200,000,000          | 2016/02/01   | 2016/12/29 | 50.00                     |
| 61046 | UBS AG – HSI R Bull CBBC Feb 2017 U                            | 200,000,000          | 2016/02/01   | 2017/02/27 | 50.00                     |
| 61022 | UBS AG – HSI R Bear CBBC May 2016 Z                            | 200,000,000          | 2016/02/01   | 2016/05/30 | 50.00                     |
| 61024 | UBS AG – HSI R Bear CBBC Jun 2016 C                            | 200,000,000          | 2016/02/01   | 2016/06/29 | 50.00                     |
| 61025 | UBS AG – HSI R Bear CBBC Jun 2016 D                            | 200,000,000          | 2016/02/01   | 2016/06/29 | 50.00                     |
| 61153 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 E       | 250,000,000          | 2016/02/02   | 2016/12/29 | 62.50                     |
| 61183 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 H       | 200,000,000          | 2016/02/02   | 2016/05/30 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 61198 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 B                  | 200,000,000          | 2016/02/02   | 2016/10/28 | 50.00                     |
| 61197 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 W                  | 200,000,000          | 2016/02/02   | 2016/10/28 | 50.00                     |
| 61199 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 W                  | 200,000,000          | 2016/02/02   | 2016/06/29 | 50.00                     |
| 61201 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 X                  | 200,000,000          | 2016/02/02   | 2016/06/29 | 50.00                     |
| 61205 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 F           | 200,000,000          | 2016/02/02   | 2016/09/29 | 53.60                     |
| 61195 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 H           | 200,000,000          | 2016/02/02   | 2016/09/29 | 50.40                     |
| 61196 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 I           | 200,000,000          | 2016/02/02   | 2016/09/29 | 51.20                     |
| 61202 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 J           | 200,000,000          | 2016/02/02   | 2016/09/29 | 50.60                     |
| 61203 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 K           | 200,000,000          | 2016/02/02   | 2016/09/29 | 52.20                     |
| 61206 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 L           | 200,000,000          | 2016/02/02   | 2016/09/29 | 57.60                     |
| 61207 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 M           | 200,000,000          | 2016/02/02   | 2016/09/29 | 58.20                     |
| 61189 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 A           | 200,000,000          | 2016/02/02   | 2016/05/30 | 50.20                     |
| 61192 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 B           | 200,000,000          | 2016/02/02   | 2016/05/30 | 51.00                     |
| 61194 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 C           | 200,000,000          | 2016/02/02   | 2016/05/30 | 52.00                     |
| 61136 | HK Bank – AIA R Bull CBBC Dec 2016 A                           | 40,000,000           | 2016/02/02   | 2016/12/30 | 10.00                     |
| 61150 | HK Bank – CITIC Sec R Bull CBBC Dec 2016 A                     | 40,000,000           | 2016/02/02   | 2016/12/30 | 10.00                     |
| 61137 | HK Bank – CKP R Bull CBBC Dec 2016 B                           | 40,000,000           | 2016/02/02   | 2016/12/19 | 10.00                     |
| 61142 | HK Bank – CNOOC R Bull CBBC Nov 2016 J                         | 50,000,000           | 2016/02/02   | 2016/11/28 | 12.50                     |
| 61140 | HK Bank – Sinopec Corp R Bull CBBC Nov 2016 F                  | 50,000,000           | 2016/02/02   | 2016/11/28 | 12.50                     |
| 61146 | HK Bank – HKEX R Bull CBBC Nov 2016 G                          | 50,000,000           | 2016/02/02   | 2016/11/21 | 12.50                     |
| 61134 | HK Bank – HSI R Bull CBBC Sep 2016 C                           | 150,000,000          | 2016/02/02   | 2016/09/29 | 37.50                     |
| 61130 | HK Bank – HSI R Bull CBBC Nov 2016 R                           | 150,000,000          | 2016/02/02   | 2016/11/29 | 37.50                     |
| 61249 | J P Morgan SP BV – COVS R Bull CBBC Feb 2017 B                 | 25,000,000           | 2016/02/02   | 2017/02/17 | 10.00                     |
| 61234 | J P Morgan SP BV – CC Bank R Bull CBBC May 2017 A              | 150,000,000          | 2016/02/02   | 2017/05/19 | 37.50                     |
| 61230 | J P Morgan SP BV – China Life R Bull CBBC Apr 2017 A           | 30,000,000           | 2016/02/02   | 2017/04/21 | 10.50                     |
| 61231 | J P Morgan SP BV – HKEX R Bull CBBC Nov 2017 A                 | 40,000,000           | 2016/02/02   | 2017/11/17 | 12.00                     |
| 61241 | J P Morgan SP BV – HSBC R Bull CBBC Dec 2017 A                 | 130,000,000          | 2016/02/02   | 2017/12/15 | 32.50                     |
| 61247 | J P Morgan SP BV – HSBC R Bear CBBC Jan 2017 A                 | 120,000,000          | 2016/02/02   | 2017/01/20 | 30.00                     |
| 61208 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 N                  | 200,000,000          | 2016/02/02   | 2016/12/29 | 50.00                     |
| 61211 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 J                  | 150,000,000          | 2016/02/02   | 2017/03/30 | 37.50                     |
| 61216 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 K                  | 150,000,000          | 2016/02/02   | 2017/03/30 | 37.50                     |
| 61223 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 J                  | 150,000,000          | 2016/02/02   | 2017/04/27 | 37.50                     |
| 61221 | J P Morgan SP BV – HSI R Bull CBBC Jun 2017 E                  | 150,000,000          | 2016/02/02   | 2017/06/29 | 37.50                     |
| 61227 | J P Morgan SP BV – HSI R Bull CBBC Aug 2017 C                  | 150,000,000          | 2016/02/02   | 2017/08/30 | 37.50                     |
| 61229 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 S                  | 150,000,000          | 2016/02/02   | 2016/06/29 | 37.50                     |
| 61248 | J P Morgan SP BV – Ping An R Bull CBBC Apr 2017 A              | 100,000,000          | 2016/02/02   | 2017/04/21 | 25.00                     |
| 61156 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 X | 200,000,000          | 2016/02/02   | 2016/11/29 | 50.00                     |
| 61163 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 Y | 200,000,000          | 2016/02/02   | 2016/11/29 | 50.00                     |
| 61162 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 V | 200,000,000          | 2016/02/02   | 2016/12/29 | 50.00                     |
| 61165 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 Z | 200,000,000          | 2016/02/02   | 2016/05/30 | 50.00                     |
| 61168 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Sep16 A | 400,000,000          | 2016/02/02   | 2016/09/29 | 100.00                    |
| 61173 | UBS AG – HSI R Bull CBBC Nov 2016 L                            | 200,000,000          | 2016/02/02   | 2016/11/29 | 50.00                     |
| 61170 | UBS AG – HSI R Bull CBBC Jan 2017 V                            | 200,000,000          | 2016/02/02   | 2017/01/26 | 50.00                     |
| 61180 | UBS AG – HSI R Bear CBBC May 2016 P                            | 200,000,000          | 2016/02/02   | 2016/05/30 | 50.00                     |
| 61318 | BNP Paribas Arbit Issu B.V. – CSOP A50 ETF R Bull CBBC Dec16A  | 100,000,000          | 2016/02/03   | 2016/12/30 | 25.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 61313 | BNP Paribas Arbit Issu B.V. – A50 Ch R Bull CBBC Dec 2016 A    | 100,000,000          | 2016/02/03   | 2016/12/30 | 25.00                     |
| 61315 | BNP Paribas Arbit Issu B.V. – A50 Ch R Bull CBBC Dec 2016 B    | 100,000,000          | 2016/02/03   | 2016/12/30 | 25.00                     |
| 61311 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 L       | 250,000,000          | 2016/02/03   | 2016/12/29 | 62.50                     |
| 61273 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 O       | 200,000,000          | 2016/02/03   | 2016/06/29 | 50.00                     |
| 61275 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 P       | 200,000,000          | 2016/02/03   | 2016/06/29 | 50.00                     |
| 61293 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 V                  | 200,000,000          | 2016/02/03   | 2016/11/29 | 50.00                     |
| 61282 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 G                  | 200,000,000          | 2016/02/03   | 2016/07/28 | 50.00                     |
| 61283 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 H                  | 200,000,000          | 2016/02/03   | 2016/07/28 | 50.00                     |
| 61289 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 I                  | 200,000,000          | 2016/02/03   | 2016/07/28 | 50.00                     |
| 61320 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 D           | 200,000,000          | 2016/02/03   | 2016/05/30 | 50.60                     |
| 61321 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 E           | 200,000,000          | 2016/02/03   | 2016/05/30 | 53.00                     |
| 61322 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 F           | 200,000,000          | 2016/02/03   | 2016/05/30 | 55.20                     |
| 61328 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 G           | 200,000,000          | 2016/02/03   | 2016/05/30 | 56.60                     |
| 61331 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 H           | 200,000,000          | 2016/02/03   | 2016/05/30 | 57.60                     |
| 61270 | HK Bank – CAM CSI300 R Bull CBBC Aug 2017 A                    | 50,000,000           | 2016/02/03   | 2017/08/28 | 12.50                     |
| 61258 | HK Bank – BOCL R Bull CBBC Jan 2017 A                          | 50,000,000           | 2016/02/03   | 2017/01/16 | 12.50                     |
| 61256 | HK Bank – CKP R Bull CBBC Nov 2017 A                           | 40,000,000           | 2016/02/03   | 2017/11/27 | 10.00                     |
| 61252 | HK Bank – China Life R Bull CBBC Dec 2016 B                    | 50,000,000           | 2016/02/03   | 2016/12/12 | 24.50                     |
| 61255 | HK Bank – China Life R Bear CBBC Dec 2016 B                    | 40,000,000           | 2016/02/03   | 2016/12/12 | 14.80                     |
| 61257 | HK Bank – CM Bank R Bull CBBC Dec 2016 E                       | 40,000,000           | 2016/02/03   | 2016/12/19 | 18.80                     |
| 61264 | HK Bank – CRRC R Bull CBBC Jul 2017 A                          | 40,000,000           | 2016/02/03   | 2017/07/17 | 10.00                     |
| 61271 | HK Bank – A50 R Bull CBBC Jan 2017 B                           | 50,000,000           | 2016/02/03   | 2017/01/16 | 13.50                     |
| 61251 | HK Bank – HKEX R Bull CBBC Dec 2016 D                          | 50,000,000           | 2016/02/03   | 2016/12/05 | 19.00                     |
| 61253 | HK Bank – HKEX R Bull CBBC Dec 2016 E                          | 50,000,000           | 2016/02/03   | 2016/12/30 | 26.50                     |
| 61267 | HK Bank – HS H-SH ETF R Bull CBBC Aug 2017 A                   | 50,000,000           | 2016/02/03   | 2017/08/28 | 12.50                     |
| 61340 | J P Morgan SP BV – AIA R Bull CBBC Mar 2017 A                  | 150,000,000          | 2016/02/03   | 2017/03/17 | 37.50                     |
| 61349 | J P Morgan SP BV – CSOP A50 ETF R Bull CBBC Jan 2017 B         | 60,000,000           | 2016/02/03   | 2017/01/20 | 15.00                     |
| 61348 | J P Morgan SP BV – CSOP A50 ETF R Bull CBBC Jun 2017 A         | 70,000,000           | 2016/02/03   | 2017/06/16 | 17.50                     |
| 61345 | J P Morgan SP BV – A50 China R Bull CBBC Feb 2017 C            | 80,000,000           | 2016/02/03   | 2017/02/17 | 20.00                     |
| 61347 | J P Morgan SP BV – A50 China R Bull CBBC Jun 2017 A            | 80,000,000           | 2016/02/03   | 2017/06/16 | 20.00                     |
| 61350 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 D                  | 150,000,000          | 2016/02/03   | 2016/12/29 | 37.50                     |
| 61354 | J P Morgan SP BV – HSI R Bull CBBC Aug 2017 D                  | 150,000,000          | 2016/02/03   | 2017/08/30 | 37.50                     |
| 61333 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 T                  | 200,000,000          | 2016/02/03   | 2016/06/29 | 50.00                     |
| 61355 | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 E                  | 150,000,000          | 2016/02/03   | 2016/08/30 | 37.50                     |
| 61276 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 W | 200,000,000          | 2016/02/03   | 2016/12/29 | 50.00                     |
| 61278 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 S | 200,000,000          | 2016/02/03   | 2016/06/29 | 50.00                     |
| 61280 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 B | 400,000,000          | 2016/02/03   | 2016/08/30 | 100.00                    |
| 61303 | UBS AG – HSI R Bull CBBC Feb 2017 V                            | 200,000,000          | 2016/02/03   | 2017/02/27 | 50.00                     |
| 61295 | UBS AG – HSI R Bear CBBC May 2016 S                            | 200,000,000          | 2016/02/03   | 2016/05/30 | 50.00                     |
| 61299 | UBS AG – HSI R Bear CBBC May 2016 T                            | 200,000,000          | 2016/02/03   | 2016/05/30 | 50.00                     |
| 61300 | UBS AG – HSI R Bear CBBC Jun 2016 E                            | 200,000,000          | 2016/02/03   | 2016/06/29 | 50.00                     |
| 61375 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 X       | 250,000,000          | 2016/02/04   | 2016/11/29 | 62.50                     |
| 61365 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 L                  | 200,000,000          | 2016/02/04   | 2016/10/28 | 50.00                     |
| 61364 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 Y                  | 200,000,000          | 2016/02/04   | 2016/06/29 | 50.00                     |
| 61419 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 E           | 200,000,000          | 2016/02/04   | 2016/09/29 | 54.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                             | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 61411 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 N     | 200,000,000          | 2016/02/04   | 2016/09/29 | 51.20                     |
| 61413 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 O     | 200,000,000          | 2016/02/04   | 2016/09/29 | 51.60                     |
| 61416 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 P     | 200,000,000          | 2016/02/04   | 2016/09/29 | 52.20                     |
| 61426 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 I     | 200,000,000          | 2016/02/04   | 2016/05/30 | 52.20                     |
| 61386 | J P Morgan SP BV – ABC R Bull CBBC Sep 2017 A            | 120,000,000          | 2016/02/04   | 2017/09/15 | 30.00                     |
| 61384 | J P Morgan SP BV – A50 China R Bear CBBC Oct 2016 A      | 80,000,000           | 2016/02/04   | 2016/10/21 | 20.00                     |
| 61381 | J P Morgan SP BV – HKEX R Bear CBBC Dec 2016 A           | 40,000,000           | 2016/02/04   | 2016/12/16 | 10.00                     |
| 61380 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 L            | 200,000,000          | 2016/02/04   | 2017/02/27 | 50.00                     |
| 61366 | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 F            | 200,000,000          | 2016/02/04   | 2016/08/30 | 50.00                     |
| 61382 | J P Morgan SP BV – Tencent R Bear CBBC Oct 2016 A        | 50,000,000           | 2016/02/04   | 2016/10/21 | 12.50                     |
| 61376 | UBS AG – HSI R Bull CBBC Jan 2017 W                      | 200,000,000          | 2016/02/04   | 2017/01/26 | 50.00                     |
| 61377 | UBS AG – HSI R Bull CBBC Jan 2017 X                      | 200,000,000          | 2016/02/04   | 2017/01/26 | 50.00                     |
| 61379 | UBS AG – HSI R Bear CBBC Jun 2016 F                      | 200,000,000          | 2016/02/04   | 2016/06/29 | 50.00                     |
| 61489 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 Y | 250,000,000          | 2016/02/05   | 2016/11/29 | 62.50                     |
| 61483 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 B | 250,000,000          | 2016/02/05   | 2016/12/29 | 62.50                     |
| 61563 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 M | 250,000,000          | 2016/02/05   | 2016/12/29 | 62.50                     |
| 61564 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 J | 200,000,000          | 2016/02/05   | 2016/05/30 | 50.00                     |
| 61491 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 Q | 200,000,000          | 2016/02/05   | 2016/06/29 | 50.00                     |
| 61567 | BNP Paribas Arbit Issu B.V. – TCH R Bull CBBC Sep 2016 E | 50,000,000           | 2016/02/05   | 2016/09/30 | 12.50                     |
| 61515 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 M            | 200,000,000          | 2016/02/05   | 2016/10/28 | 50.00                     |
| 61516 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 T            | 200,000,000          | 2016/02/05   | 2016/10/28 | 50.00                     |
| 61534 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 X            | 200,000,000          | 2016/02/05   | 2016/10/28 | 50.00                     |
| 61493 | Credit Suisse AG – HSI R Bear CBBC May 2016 T            | 200,000,000          | 2016/02/05   | 2016/05/30 | 50.00                     |
| 61497 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 Z            | 200,000,000          | 2016/02/05   | 2016/06/29 | 50.00                     |
| 61507 | Bank of East Asia – CITIC R Bull CBBC Jul 2017 A         | 40,000,000           | 2016/02/05   | 2017/07/06 | 10.00                     |
| 61505 | Bank of East Asia – CITIC Sec R Bull CBBC Jun 2017 A     | 40,000,000           | 2016/02/05   | 2017/06/02 | 20.40                     |
| 61498 | Bank of East Asia – CKH R Bull CBBC Apr 2017 A           | 40,000,000           | 2016/02/05   | 2017/04/03 | 10.00                     |
| 61500 | Bank of East Asia – CKP R Bull CBBC Nov 2017 A           | 80,000,000           | 2016/02/05   | 2017/11/13 | 20.00                     |
| 61502 | Bank of East Asia – CRRC R Bull CBBC Jun 2017 A          | 60,000,000           | 2016/02/05   | 2017/06/16 | 15.00                     |
| 61570 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 J     | 200,000,000          | 2016/02/05   | 2016/05/30 | 50.80                     |
| 61571 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 K     | 200,000,000          | 2016/02/05   | 2016/05/30 | 52.20                     |
| 61442 | HK Bank – CITIC Sec R Bull CBBC Dec 2017 A               | 40,000,000           | 2016/02/05   | 2017/12/18 | 24.40                     |
| 61438 | HK Bank – CRRC R Bull CBBC Dec 2017 A                    | 40,000,000           | 2016/02/05   | 2017/12/18 | 12.40                     |
| 61449 | HK Bank – Galaxy Ent R Bull CBBC Nov 2016 H              | 40,000,000           | 2016/02/05   | 2016/11/14 | 14.40                     |
| 61448 | HK Bank – Sands China R Bull CBBC Dec 2016 E             | 40,000,000           | 2016/02/05   | 2016/12/05 | 16.40                     |
| 61627 | J P Morgan SP BV – A50 China R Bull CBBC Jan 2017 C      | 80,000,000           | 2016/02/05   | 2017/01/20 | 20.00                     |
| 61628 | J P Morgan SP BV – A50 China R Bear CBBC Nov 2016 A      | 70,000,000           | 2016/02/05   | 2016/11/18 | 17.50                     |
| 61616 | J P Morgan SP BV – HKEX R Bull CBBC Jan 2017 C           | 40,000,000           | 2016/02/05   | 2017/01/20 | 10.00                     |
| 61574 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 G            | 200,000,000          | 2016/02/05   | 2016/12/29 | 50.00                     |
| 61575 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 P            | 200,000,000          | 2016/02/05   | 2017/01/26 | 50.00                     |
| 61594 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 K            | 200,000,000          | 2016/02/05   | 2017/04/27 | 50.00                     |
| 61459 | J P Morgan SP BV – HSI R Bear CBBC May 2016 A            | 200,000,000          | 2016/02/05   | 2016/05/30 | 50.00                     |
| 61456 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 U            | 200,000,000          | 2016/02/05   | 2016/06/29 | 50.00                     |
| 61615 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 V            | 200,000,000          | 2016/02/05   | 2016/06/29 | 50.00                     |
| 61630 | J P Morgan SP BV – Ping An R Bull CBBC Dec 2016 C        | 80,000,000           | 2016/02/05   | 2016/12/16 | 20.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 61631 | J P Morgan SP BV – Tencent R Bull CBBC Jan 2017 B              | 60,000,000           | 2016/02/05   | 2017/01/20 | 15.00                     |
| 61476 | Macquarie Bank Ltd. – HSI R Bull CBBC Aug 2016 B               | 40,000,000           | 2016/02/05   | 2016/08/30 | 10.00                     |
| 61482 | Macquarie Bank Ltd. – HSI R Bull CBBC Nov 2016 B               | 40,000,000           | 2016/02/05   | 2016/11/29 | 10.00                     |
| 61478 | Macquarie Bank Ltd. – HSI R Bear CBBC Aug 2016 C               | 40,000,000           | 2016/02/05   | 2016/08/30 | 10.00                     |
| 61467 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 B | 200,000,000          | 2016/02/05   | 2016/10/28 | 50.00                     |
| 61452 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 T | 200,000,000          | 2016/02/05   | 2016/10/28 | 50.00                     |
| 61461 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 X | 200,000,000          | 2016/02/05   | 2016/12/29 | 50.00                     |
| 61473 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 B | 200,000,000          | 2016/02/05   | 2016/05/30 | 50.00                     |
| 61455 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 O | 200,000,000          | 2016/02/05   | 2016/07/28 | 50.00                     |
| 61545 | UBS AG – HSBC R Bull CBBC Nov 2017 B                           | 100,000,000          | 2016/02/05   | 2017/11/27 | 25.00                     |
| 61553 | UBS AG – HSCEI R Bull CBBC Dec 2016 B                          | 200,000,000          | 2016/02/05   | 2016/12/29 | 50.00                     |
| 61562 | UBS AG – HSI R Bull CBBC Nov 2016 M                            | 200,000,000          | 2016/02/05   | 2016/11/29 | 50.00                     |
| 61554 | UBS AG – HSI R Bull CBBC Dec 2016 H                            | 200,000,000          | 2016/02/05   | 2016/12/29 | 50.00                     |
| 61558 | UBS AG – HSI R Bull CBBC Feb 2017 W                            | 200,000,000          | 2016/02/05   | 2017/02/27 | 50.00                     |
| 61538 | UBS AG – HSI R Bear CBBC May 2016 U                            | 200,000,000          | 2016/02/05   | 2016/05/30 | 50.00                     |
| 61542 | UBS AG – HSI R Bear CBBC May 2016 W                            | 200,000,000          | 2016/02/05   | 2016/05/30 | 50.00                     |
| 61543 | UBS AG – HSI R Bear CBBC May 2016 X                            | 200,000,000          | 2016/02/05   | 2016/05/30 | 50.00                     |
| 61546 | UBS AG – TCH R Bull CBBC Aug 2016 C                            | 50,000,000           | 2016/02/05   | 2016/08/22 | 12.50                     |
| 61681 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 X                  | 200,000,000          | 2016/02/11   | 2016/11/29 | 50.00                     |
| 61680 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 Y                  | 200,000,000          | 2016/02/11   | 2016/11/29 | 50.00                     |
| 61685 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 C                  | 200,000,000          | 2016/02/11   | 2016/06/29 | 50.00                     |
| 61686 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 J                  | 200,000,000          | 2016/02/11   | 2016/07/28 | 50.00                     |
| 61699 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 Q           | 200,000,000          | 2016/02/11   | 2016/09/29 | 54.20                     |
| 61705 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 R           | 200,000,000          | 2016/02/11   | 2016/09/29 | 53.40                     |
| 61707 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Sep 2016 S           | 200,000,000          | 2016/02/11   | 2016/09/29 | 51.20                     |
| 61632 | HK Bank – China Mobile R Bull CBBC Nov 2016 F                  | 50,000,000           | 2016/02/11   | 2016/11/14 | 12.50                     |
| 61651 | HK Bank – CUni R Bull CBBC Dec 2016 A                          | 40,000,000           | 2016/02/11   | 2016/12/30 | 10.00                     |
| 61633 | HK Bank – CNOOC R Bull CBBC Oct 2016 G                         | 50,000,000           | 2016/02/11   | 2016/10/31 | 12.50                     |
| 61655 | HK Bank – Great Wall Motor R Bull CBBC Dec 2016 A              | 40,000,000           | 2016/02/11   | 2016/12/30 | 10.00                     |
| 61658 | HK Bank – HSI R Bull CBBC Oct 2016 W                           | 150,000,000          | 2016/02/11   | 2016/10/28 | 37.50                     |
| 61652 | HK Bank – Lenovo R Bull CBBC Dec 2016 B                        | 40,000,000           | 2016/02/11   | 2016/12/30 | 10.00                     |
| 61653 | HK Bank – PICC P&C R Bull CBBC Jan 2017 A                      | 40,000,000           | 2016/02/11   | 2017/01/16 | 12.00                     |
| 61698 | J P Morgan SP BV – COVS R Bull CBBC Jan 2017 A                 | 25,000,000           | 2016/02/11   | 2017/01/20 | 10.00                     |
| 61666 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 L                  | 200,000,000          | 2016/02/11   | 2017/03/30 | 50.00                     |
| 61687 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 W                  | 200,000,000          | 2016/02/11   | 2016/06/29 | 50.00                     |
| 61661 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 Z | 200,000,000          | 2016/02/11   | 2016/11/29 | 50.00                     |
| 61665 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 E | 200,000,000          | 2016/02/11   | 2016/05/30 | 50.00                     |
| 61662 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 P | 200,000,000          | 2016/02/11   | 2016/07/28 | 50.00                     |
| 61677 | UBS AG – HSI R Bull CBBC Jan 2017 Y                            | 200,000,000          | 2016/02/11   | 2017/01/26 | 50.00                     |
| 61678 | UBS AG – HSI R Bull CBBC Feb 2017 X                            | 200,000,000          | 2016/02/11   | 2017/02/27 | 50.00                     |
| 61673 | UBS AG – HSI R Bull CBBC Jun 2017 D                            | 200,000,000          | 2016/02/11   | 2017/06/29 | 50.00                     |
| 61679 | UBS AG – HSI R Bear CBBC May 2016 Y                            | 200,000,000          | 2016/02/11   | 2016/05/30 | 50.00                     |
| 61729 | BNP Paribas Arbit Issu B.V. – CSOP A50 ETF R Bull CBBC Dec16B  | 100,000,000          | 2016/02/12   | 2016/12/30 | 25.00                     |
| 61733 | BNP Paribas Arbit Issu B.V. – CSOP A50 ETF R Bull CBBC Dec16C  | 100,000,000          | 2016/02/12   | 2016/12/30 | 25.00                     |
| 61735 | BNP Paribas Arbit Issu B.V. – A50 Ch R Bull CBBC Dec 2016 C    | 100,000,000          | 2016/02/12   | 2016/12/30 | 25.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 61728 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 K       | 200,000,000          | 2016/02/12   | 2016/05/30 | 50.00                     |
| 61739 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 T                  | 200,000,000          | 2016/02/12   | 2016/12/29 | 50.00                     |
| 61740 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 U                  | 200,000,000          | 2016/02/12   | 2016/12/29 | 50.00                     |
| 61744 | Credit Suisse AG – HSI R Bear CBBC May 2016 W                  | 200,000,000          | 2016/02/12   | 2016/05/30 | 50.00                     |
| 61759 | Bank of East Asia – Great Wall Motor R Bull CBBC Feb 2017 A    | 60,000,000           | 2016/02/12   | 2017/02/23 | 15.00                     |
| 61758 | Bank of East Asia – PetCh R Bull CBBC Feb 2017 A               | 60,000,000           | 2016/02/12   | 2017/02/08 | 15.00                     |
| 61761 | Bank of East Asia – PICC P&C R Bull CBBC Feb 2017 A            | 40,000,000           | 2016/02/12   | 2017/02/22 | 10.00                     |
| 61762 | Bank of East Asia – Ping An R Bull CBBC Feb 2017 A             | 60,000,000           | 2016/02/12   | 2017/02/21 | 15.00                     |
| 61778 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2016 A           | 200,000,000          | 2016/02/12   | 2016/12/29 | 52.00                     |
| 61779 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2016 B           | 200,000,000          | 2016/02/12   | 2016/12/29 | 52.40                     |
| 61780 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2016 C           | 200,000,000          | 2016/02/12   | 2016/12/29 | 55.80                     |
| 61781 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 M                  | 200,000,000          | 2016/02/12   | 2017/03/30 | 50.00                     |
| 61708 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 Y | 200,000,000          | 2016/02/12   | 2016/12/29 | 50.00                     |
| 61723 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 G | 200,000,000          | 2016/02/12   | 2016/05/30 | 50.00                     |
| 61727 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 Q | 200,000,000          | 2016/02/12   | 2016/07/28 | 50.00                     |
| 61763 | UBS AG – HSI R Bull CBBC Mar 2017 J                            | 200,000,000          | 2016/02/12   | 2017/03/30 | 50.00                     |
| 61768 | UBS AG – HSI R Bull CBBC Apr 2017 C                            | 200,000,000          | 2016/02/12   | 2017/04/27 | 50.00                     |
| 61773 | UBS AG – HSI R Bear CBBC Jun 2016 G                            | 200,000,000          | 2016/02/12   | 2016/06/29 | 50.00                     |
| 61777 | UBS AG – HSI R Bear CBBC Jun 2016 H                            | 200,000,000          | 2016/02/12   | 2016/06/29 | 50.00                     |
| 61818 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 B       | 250,000,000          | 2016/02/15   | 2016/11/29 | 62.50                     |
| 61782 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 D       | 250,000,000          | 2016/02/15   | 2016/12/29 | 62.50                     |
| 61783 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 I       | 250,000,000          | 2016/02/15   | 2016/12/29 | 62.50                     |
| 61785 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 Q       | 250,000,000          | 2016/02/15   | 2016/12/29 | 62.50                     |
| 61819 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 R       | 200,000,000          | 2016/02/15   | 2016/06/29 | 50.00                     |
| 61821 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 S       | 200,000,000          | 2016/02/15   | 2016/06/29 | 50.00                     |
| 61842 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 T       | 200,000,000          | 2016/02/15   | 2016/06/29 | 50.00                     |
| 61831 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 V                  | 200,000,000          | 2016/02/15   | 2016/12/29 | 50.00                     |
| 61834 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 W                  | 200,000,000          | 2016/02/15   | 2016/12/29 | 50.00                     |
| 61836 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 X                  | 200,000,000          | 2016/02/15   | 2016/12/29 | 50.00                     |
| 61837 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 Y                  | 200,000,000          | 2016/02/15   | 2016/12/29 | 50.00                     |
| 61839 | Credit Suisse AG – HSI R Bear CBBC May 2016 Y                  | 200,000,000          | 2016/02/15   | 2016/05/30 | 50.00                     |
| 61838 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 A                  | 200,000,000          | 2016/02/15   | 2016/06/29 | 50.00                     |
| 61841 | Credit Suisse AG – HSI R Bear CBBC Aug 2016 A                  | 200,000,000          | 2016/02/15   | 2016/08/30 | 50.00                     |
| 61869 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2016 D           | 200,000,000          | 2016/02/15   | 2016/12/29 | 50.80                     |
| 61870 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2016 E           | 200,000,000          | 2016/02/15   | 2016/12/29 | 53.20                     |
| 61871 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2016 F           | 200,000,000          | 2016/02/15   | 2016/12/29 | 55.20                     |
| 61868 | J P Morgan SP BV – AIA R Bull CBBC Mar 2017 B                  | 150,000,000          | 2016/02/15   | 2017/03/17 | 37.50                     |
| 61867 | J P Morgan SP BV – China Mobile R Bull CBBC Oct 2017 A         | 100,000,000          | 2016/02/15   | 2017/10/20 | 25.00                     |
| 61864 | J P Morgan SP BV – China Life R Bull CBBC Feb 2017 B           | 35,000,000           | 2016/02/15   | 2017/02/17 | 10.50                     |
| 61810 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 K                  | 200,000,000          | 2016/02/15   | 2016/12/29 | 50.00                     |
| 61812 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 M                  | 200,000,000          | 2016/02/15   | 2017/02/27 | 50.00                     |
| 61863 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 L                  | 200,000,000          | 2016/02/15   | 2017/04/27 | 50.00                     |
| 61860 | J P Morgan SP BV – HSI R Bear CBBC May 2016 B                  | 200,000,000          | 2016/02/15   | 2016/05/30 | 50.00                     |
| 61861 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 X                  | 150,000,000          | 2016/02/15   | 2016/06/29 | 37.50                     |
| 61862 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 P                  | 150,000,000          | 2016/02/15   | 2016/07/28 | 37.50                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 61816 | Macquarie Bank Ltd. – HSI R Bear CBBC Aug 2016 D               | 40,000,000           | 2016/02/15   | 2016/08/30 | 10.04                     |
| 61817 | Macquarie Bank Ltd. – HSI R Bear CBBC Aug 2016 E               | 40,000,000           | 2016/02/15   | 2016/08/30 | 10.20                     |
| 61814 | Macquarie Bank Ltd. – HSI R Bear CBBC Oct 2016 A               | 40,000,000           | 2016/02/15   | 2016/10/28 | 10.00                     |
| 61790 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 R | 200,000,000          | 2016/02/15   | 2016/10/28 | 50.00                     |
| 61808 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 W | 200,000,000          | 2016/02/15   | 2016/10/28 | 50.00                     |
| 61799 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 B | 200,000,000          | 2016/02/15   | 2016/11/29 | 50.00                     |
| 61793 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 Z | 200,000,000          | 2016/02/15   | 2016/12/29 | 50.00                     |
| 61823 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 H | 200,000,000          | 2016/02/15   | 2016/05/30 | 50.00                     |
| 61825 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 O | 200,000,000          | 2016/02/15   | 2016/05/30 | 50.00                     |
| 61822 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 R | 200,000,000          | 2016/02/15   | 2016/07/28 | 50.00                     |
| 61846 | UBS AG – HSI R Bull CBBC Dec 2016 Z                            | 200,000,000          | 2016/02/15   | 2016/12/29 | 50.00                     |
| 61849 | UBS AG – HSI R Bull CBBC Feb 2017 Y                            | 200,000,000          | 2016/02/15   | 2017/02/27 | 50.00                     |
| 61847 | UBS AG – HSI R Bull CBBC Jun 2017 E                            | 200,000,000          | 2016/02/15   | 2017/06/29 | 50.00                     |
| 61848 | UBS AG – HSI R Bull CBBC Jun 2017 F                            | 200,000,000          | 2016/02/15   | 2017/06/29 | 50.00                     |
| 61856 | UBS AG – HSI R Bear CBBC May 2016 O                            | 200,000,000          | 2016/02/15   | 2016/05/30 | 50.00                     |
| 61858 | UBS AG – HSI R Bear CBBC May 2016 Q                            | 200,000,000          | 2016/02/15   | 2016/05/30 | 50.00                     |
| 61857 | UBS AG – HSI R Bear CBBC Jun 2016 I                            | 200,000,000          | 2016/02/15   | 2016/06/29 | 50.00                     |
| 61913 | Credit Suisse AG – AIA R Bull CBBC Nov 2016 A                  | 80,000,000           | 2016/02/16   | 2016/11/30 | 20.00                     |
| 61908 | Credit Suisse AG – China Mobile R Bull CBBC Nov 2016 A         | 80,000,000           | 2016/02/16   | 2016/11/30 | 20.00                     |
| 61910 | Credit Suisse AG – HSBC R Bull CBBC Nov 2016 A                 | 80,000,000           | 2016/02/16   | 2016/11/30 | 20.00                     |
| 61915 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 Q                  | 200,000,000          | 2016/02/16   | 2016/11/29 | 50.00                     |
| 61914 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 W                  | 200,000,000          | 2016/02/16   | 2016/11/29 | 50.00                     |
| 61905 | Credit Suisse AG – HSI R Bear CBBC May 2016 V                  | 200,000,000          | 2016/02/16   | 2016/05/30 | 50.00                     |
| 61902 | Credit Suisse AG – HSI R Bear CBBC May 2016 Z                  | 200,000,000          | 2016/02/16   | 2016/05/30 | 50.00                     |
| 61904 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 K                  | 200,000,000          | 2016/02/16   | 2016/07/28 | 50.00                     |
| 61883 | HK Bank – AIA R Bull CBBC Oct 2016 G                           | 40,000,000           | 2016/02/16   | 2016/10/17 | 28.00                     |
| 61874 | HK Bank – HSCEI R Bear CBBC Aug 2016 L                         | 50,000,000           | 2016/02/16   | 2016/08/30 | 12.50                     |
| 61873 | HK Bank – HSI R Bear CBBC Sep 2016 O                           | 150,000,000          | 2016/02/16   | 2016/09/29 | 37.50                     |
| 61872 | HK Bank – HSI R Bear CBBC Oct 2016 I                           | 150,000,000          | 2016/02/16   | 2016/10/28 | 37.50                     |
| 61938 | J P Morgan SP BV – AIA R Bull CBBC Jan 2017 B                  | 150,000,000          | 2016/02/16   | 2017/01/20 | 37.50                     |
| 61936 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 N                  | 150,000,000          | 2016/02/16   | 2017/03/30 | 37.50                     |
| 61937 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 O                  | 200,000,000          | 2016/02/16   | 2017/03/30 | 50.00                     |
| 61895 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 Y                  | 200,000,000          | 2016/02/16   | 2016/06/29 | 50.00                     |
| 61899 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 Q                  | 200,000,000          | 2016/02/16   | 2016/07/28 | 50.00                     |
| 61894 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 Y | 200,000,000          | 2016/02/16   | 2016/10/28 | 50.00                     |
| 61892 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 C | 200,000,000          | 2016/02/16   | 2016/11/29 | 50.00                     |
| 61893 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 D | 200,000,000          | 2016/02/16   | 2016/11/29 | 50.00                     |
| 61887 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 U | 200,000,000          | 2016/02/16   | 2016/05/30 | 50.00                     |
| 61889 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 S | 200,000,000          | 2016/02/16   | 2016/07/28 | 50.00                     |
| 61891 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 T | 200,000,000          | 2016/02/16   | 2016/07/28 | 50.00                     |
| 61920 | UBS AG – HSI R Bull CBBC Apr 2017 D                            | 200,000,000          | 2016/02/16   | 2017/04/27 | 50.00                     |
| 61934 | UBS AG – HSI R Bull CBBC Apr 2017 E                            | 200,000,000          | 2016/02/16   | 2017/04/27 | 50.00                     |
| 61918 | UBS AG – HSI R Bear CBBC May 2016 R                            | 200,000,000          | 2016/02/16   | 2016/05/30 | 50.00                     |
| 61919 | UBS AG – HSI R Bear CBBC Jun 2016 J                            | 200,000,000          | 2016/02/16   | 2016/06/29 | 50.00                     |
| 61935 | UBS AG – Ping An R Bull CBBC Jan 2017 A                        | 100,000,000          | 2016/02/16   | 2017/01/16 | 25.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 61984 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 Y                  | 200,000,000          | 2016/02/17   | 2016/10/28 | 50.00                     |
| 61981 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 M                  | 200,000,000          | 2016/02/17   | 2016/11/29 | 50.00                     |
| 61979 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 B                  | 200,000,000          | 2016/02/17   | 2016/06/29 | 50.00                     |
| 61958 | HK Bank – China Life R Bull CBBC Dec 2016 C                    | 50,000,000           | 2016/02/17   | 2016/12/30 | 25.00                     |
| 61959 | HK Bank – HSCEI R Bull CBBC Oct 2016 O                         | 60,000,000           | 2016/02/17   | 2016/10/28 | 15.00                     |
| 61941 | HK Bank – HSI R Bull CBBC Oct 2016 X                           | 150,000,000          | 2016/02/17   | 2016/10/28 | 37.50                     |
| 61942 | HK Bank – HSI R Bull CBBC Nov 2016 S                           | 150,000,000          | 2016/02/17   | 2016/11/29 | 37.50                     |
| 61940 | HK Bank – HSI R Bear CBBC Aug 2016 S                           | 150,000,000          | 2016/02/17   | 2016/08/30 | 37.50                     |
| 61957 | HK Bank – PetCh R Bull CBBC Nov 2016 H                         | 50,000,000           | 2016/02/17   | 2016/11/21 | 12.50                     |
| 61961 | HK Bank – TCH R Bull CBBC Oct 2016 G                           | 50,000,000           | 2016/02/17   | 2016/10/31 | 12.50                     |
| 61993 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 Z                  | 200,000,000          | 2016/02/17   | 2016/06/29 | 50.00                     |
| 61962 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 Z | 200,000,000          | 2016/02/17   | 2016/10/28 | 50.00                     |
| 61963 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 D | 200,000,000          | 2016/02/17   | 2016/12/29 | 50.00                     |
| 61970 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 U | 200,000,000          | 2016/02/17   | 2016/07/28 | 50.00                     |
| 61972 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 V | 200,000,000          | 2016/02/17   | 2016/07/28 | 50.00                     |
| 61990 | UBS AG – HSI R Bull CBBC Dec 2016 G                            | 200,000,000          | 2016/02/17   | 2016/12/29 | 50.00                     |
| 61992 | UBS AG – HSI R Bull CBBC Jun 2017 G                            | 200,000,000          | 2016/02/17   | 2017/06/29 | 50.00                     |
| 61985 | UBS AG – HSI R Bear CBBC May 2016 V                            | 200,000,000          | 2016/02/17   | 2016/05/30 | 50.00                     |
| 62004 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 E       | 250,000,000          | 2016/02/18   | 2016/11/29 | 62.50                     |
| 62021 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 S       | 250,000,000          | 2016/02/18   | 2016/11/29 | 62.50                     |
| 62014 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 X       | 250,000,000          | 2016/02/18   | 2016/12/29 | 62.50                     |
| 62059 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 I       | 200,000,000          | 2016/02/18   | 2016/05/30 | 50.00                     |
| 62054 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 L       | 200,000,000          | 2016/02/18   | 2016/05/30 | 50.00                     |
| 62050 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 U       | 200,000,000          | 2016/02/18   | 2016/06/29 | 50.00                     |
| 62051 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 V       | 200,000,000          | 2016/02/18   | 2016/06/29 | 50.00                     |
| 62063 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 E                  | 200,000,000          | 2016/02/18   | 2016/10/28 | 50.00                     |
| 62062 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 Z                  | 200,000,000          | 2016/02/18   | 2016/10/28 | 50.00                     |
| 62064 | Credit Suisse AG – HSI R Bull CBBC Apr 2017 A                  | 200,000,000          | 2016/02/18   | 2017/04/27 | 50.00                     |
| 62065 | Credit Suisse AG – HSI R Bull CBBC Apr 2017 B                  | 200,000,000          | 2016/02/18   | 2017/04/27 | 54.00                     |
| 62066 | Credit Suisse AG – HSI R Bull CBBC Apr 2017 C                  | 200,000,000          | 2016/02/18   | 2017/04/27 | 66.00                     |
| 62071 | Credit Suisse AG – HSI R Bear CBBC May 2016 T                  | 200,000,000          | 2016/02/18   | 2016/05/30 | 50.00                     |
| 62069 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 D                  | 200,000,000          | 2016/02/18   | 2016/06/29 | 50.00                     |
| 62072 | Credit Suisse AG – HSI R Bear CBBC Aug 2016 B                  | 200,000,000          | 2016/02/18   | 2016/08/30 | 50.00                     |
| 62118 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 L           | 200,000,000          | 2016/02/18   | 2016/05/30 | 51.40                     |
| 62125 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 M           | 200,000,000          | 2016/02/18   | 2016/05/30 | 52.80                     |
| 62129 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 N           | 200,000,000          | 2016/02/18   | 2016/05/30 | 53.00                     |
| 62084 | J P Morgan SP BV – AIA R Bull CBBC Apr 2017 A                  | 100,000,000          | 2016/02/18   | 2017/04/21 | 25.00                     |
| 62091 | J P Morgan SP BV – China Life R Bull CBBC Jun 2017 A           | 35,000,000           | 2016/02/18   | 2017/06/16 | 10.50                     |
| 62081 | J P Morgan SP BV – HSBC R Bull CBBC Jan 2018 A                 | 100,000,000          | 2016/02/18   | 2018/01/19 | 25.00                     |
| 62024 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 Q                  | 200,000,000          | 2016/02/18   | 2017/01/26 | 50.00                     |
| 62030 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 N                  | 150,000,000          | 2016/02/18   | 2017/02/27 | 37.50                     |
| 62028 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 P                  | 200,000,000          | 2016/02/18   | 2017/03/30 | 50.00                     |
| 62029 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 M                  | 200,000,000          | 2016/02/18   | 2017/04/27 | 50.00                     |
| 62061 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 E                  | 200,000,000          | 2016/02/18   | 2016/06/29 | 50.00                     |
| 62073 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 R                  | 200,000,000          | 2016/02/18   | 2016/07/28 | 50.00                     |



# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 62077 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 S                  | 200,000,000          | 2016/02/18   | 2016/07/28 | 50.00                     |
| 62080 | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 G                  | 200,000,000          | 2016/02/18   | 2016/08/30 | 50.00                     |
| 62039 | Macquarie Bank Ltd. – HSI R Bull CBBC Jul 2016 M               | 40,000,000           | 2016/02/18   | 2016/07/28 | 10.08                     |
| 62038 | Macquarie Bank Ltd. – HSI R Bull CBBC Aug 2016 C               | 40,000,000           | 2016/02/18   | 2016/08/30 | 10.00                     |
| 62042 | Macquarie Bank Ltd. – HSI R Bull CBBC Oct 2016 C               | 40,000,000           | 2016/02/18   | 2016/10/28 | 10.00                     |
| 62041 | Macquarie Bank Ltd. – HSI R Bull CBBC Nov 2016 C               | 40,000,000           | 2016/02/18   | 2016/11/29 | 10.00                     |
| 62047 | Macquarie Bank Ltd. – HSI R Bear CBBC Aug 2016 F               | 40,000,000           | 2016/02/18   | 2016/08/30 | 10.00                     |
| 62048 | Macquarie Bank Ltd. – HSI R Bear CBBC Aug 2016 G               | 40,000,000           | 2016/02/18   | 2016/08/30 | 10.20                     |
| 62049 | Macquarie Bank Ltd. – HSI R Bear CBBC Nov 2016 A               | 40,000,000           | 2016/02/18   | 2016/11/29 | 10.00                     |
| 62032 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 X | 200,000,000          | 2016/02/18   | 2016/10/28 | 50.00                     |
| 62003 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 E | 200,000,000          | 2016/02/18   | 2016/11/29 | 50.00                     |
| 61997 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 E | 200,000,000          | 2016/02/18   | 2016/12/29 | 50.00                     |
| 62002 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 F | 200,000,000          | 2016/02/18   | 2016/12/29 | 50.00                     |
| 62036 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 R | 200,000,000          | 2016/02/18   | 2016/06/29 | 50.00                     |
| 62033 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 W | 200,000,000          | 2016/02/18   | 2016/07/28 | 50.00                     |
| 62035 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 X | 200,000,000          | 2016/02/18   | 2016/07/28 | 50.00                     |
| 62102 | UBS AG – HSI R Bull CBBC Jan 2017 Z                            | 200,000,000          | 2016/02/18   | 2017/01/26 | 50.00                     |
| 62096 | UBS AG – HSI R Bull CBBC Feb 2017 Z                            | 200,000,000          | 2016/02/18   | 2017/02/27 | 50.00                     |
| 62101 | UBS AG – HSI R Bull CBBC Mar 2017 K                            | 200,000,000          | 2016/02/18   | 2017/03/30 | 50.00                     |
| 62104 | UBS AG – HSI R Bull CBBC Jun 2017 H                            | 200,000,000          | 2016/02/18   | 2017/06/29 | 50.00                     |
| 62111 | UBS AG – HSI R Bull CBBC Jul 2017 B                            | 200,000,000          | 2016/02/18   | 2017/07/28 | 50.00                     |
| 62112 | UBS AG – HSI R Bear CBBC May 2016 Z                            | 200,000,000          | 2016/02/18   | 2016/05/30 | 50.00                     |
| 62115 | UBS AG – HSI R Bear CBBC Jun 2016 K                            | 200,000,000          | 2016/02/18   | 2016/06/29 | 50.00                     |
| 62117 | UBS AG – HSI R Bear CBBC Jun 2016 L                            | 200,000,000          | 2016/02/18   | 2016/06/29 | 50.00                     |
| 62177 | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC May 2016 I     | 100,000,000          | 2016/02/19   | 2016/05/30 | 25.00                     |
| 62176 | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC Jun 2016 D     | 100,000,000          | 2016/02/19   | 2016/06/29 | 25.00                     |
| 62135 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 D       | 250,000,000          | 2016/02/19   | 2016/11/29 | 62.50                     |
| 62173 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 K       | 250,000,000          | 2016/02/19   | 2016/11/29 | 62.50                     |
| 62136 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 S       | 250,000,000          | 2016/02/19   | 2016/12/29 | 62.50                     |
| 62175 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 C       | 200,000,000          | 2016/02/19   | 2016/05/30 | 50.00                     |
| 62174 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 M       | 200,000,000          | 2016/02/19   | 2016/05/30 | 50.00                     |
| 62217 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 W       | 200,000,000          | 2016/02/19   | 2016/06/29 | 50.00                     |
| 62185 | Credit Suisse AG – AIA R Bull CBBC Dec 2016 A                  | 80,000,000           | 2016/02/19   | 2016/12/30 | 20.00                     |
| 62186 | Credit Suisse AG – HSBC R Bull CBBC Dec 2016 A                 | 80,000,000           | 2016/02/19   | 2016/12/30 | 20.00                     |
| 62178 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 B                  | 200,000,000          | 2016/02/19   | 2016/11/29 | 50.00                     |
| 62179 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 C                  | 200,000,000          | 2016/02/19   | 2016/11/29 | 50.00                     |
| 62187 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 S                  | 200,000,000          | 2016/02/19   | 2016/06/29 | 50.00                     |
| 62188 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 T                  | 200,000,000          | 2016/02/19   | 2016/06/29 | 50.00                     |
| 62181 | Credit Suisse AG – TCH R Bull CBBC Nov 2016 A                  | 100,000,000          | 2016/02/19   | 2016/11/30 | 25.00                     |
| 62182 | Credit Suisse AG – TCH R Bull CBBC Dec 2016 A                  | 100,000,000          | 2016/02/19   | 2016/12/30 | 25.00                     |
| 62219 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 A           | 200,000,000          | 2016/02/19   | 2017/06/29 | 50.40                     |
| 62220 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 B           | 200,000,000          | 2016/02/19   | 2017/06/29 | 53.00                     |
| 62225 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 C           | 200,000,000          | 2016/02/19   | 2017/06/29 | 55.60                     |
| 62246 | J P Morgan SP BV – AIA R Bull CBBC Jun 2017 A                  | 100,000,000          | 2016/02/19   | 2017/06/16 | 25.00                     |
| 62238 | J P Morgan SP BV – COVS R Bull CBBC Jan 2017 B                 | 25,000,000           | 2016/02/19   | 2017/01/20 | 10.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 62237 | J P Morgan SP BV – Galaxy Ent R Bull CBBC May 2017 A           | 100,000,000          | 2016/02/19   | 2017/05/19 | 25.00                     |
| 62240 | J P Morgan SP BV – HSBC R Bull CBBC Apr 2018 A                 | 100,000,000          | 2016/02/19   | 2018/04/20 | 25.00                     |
| 62153 | J P Morgan SP BV – HSI R Bull CBBC May 2017 F                  | 200,000,000          | 2016/02/19   | 2017/05/29 | 50.00                     |
| 62227 | J P Morgan SP BV – HSI R Bear CBBC May 2016 Z                  | 200,000,000          | 2016/02/19   | 2016/05/30 | 50.00                     |
| 62232 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 I                  | 200,000,000          | 2016/02/19   | 2016/06/29 | 50.00                     |
| 62235 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 T                  | 200,000,000          | 2016/02/19   | 2016/07/28 | 50.00                     |
| 62236 | J P Morgan SP BV – ICBC R Bull CBBC Jul 2017 A                 | 100,000,000          | 2016/02/19   | 2017/07/21 | 25.00                     |
| 62239 | J P Morgan SP BV – Ping An R Bull CBBC May 2017 A              | 100,000,000          | 2016/02/19   | 2017/05/19 | 25.00                     |
| 62189 | Macquarie Bank Ltd. – HSI R Bull CBBC Jul 2016 N               | 40,000,000           | 2016/02/19   | 2016/07/28 | 10.00                     |
| 62191 | Macquarie Bank Ltd. – HSI R Bull CBBC Jul 2016 O               | 40,000,000           | 2016/02/19   | 2016/07/28 | 10.20                     |
| 62195 | Macquarie Bank Ltd. – HSI R Bull CBBC Sep 2016 B               | 40,000,000           | 2016/02/19   | 2016/09/29 | 10.00                     |
| 62171 | SGA Societe Generale Acceptance N.V. – CMob R Bull CBBC Nov16A | 100,000,000          | 2016/02/19   | 2016/11/29 | 25.00                     |
| 62167 | SGA Societe Generale Acceptance N.V. – CMob R Bull CBBC May17A | 100,000,000          | 2016/02/19   | 2017/05/29 | 25.00                     |
| 62145 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 C | 200,000,000          | 2016/02/19   | 2016/10/28 | 50.00                     |
| 62146 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 D | 200,000,000          | 2016/02/19   | 2016/10/28 | 50.00                     |
| 62147 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 E | 200,000,000          | 2016/02/19   | 2016/10/28 | 50.00                     |
| 62148 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 F | 200,000,000          | 2016/02/19   | 2016/10/28 | 50.00                     |
| 62150 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 G | 200,000,000          | 2016/02/19   | 2016/10/28 | 50.00                     |
| 62151 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 H | 200,000,000          | 2016/02/19   | 2016/10/28 | 50.00                     |
| 62138 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 Q | 200,000,000          | 2016/02/19   | 2016/10/28 | 53.00                     |
| 62142 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 U | 200,000,000          | 2016/02/19   | 2016/10/28 | 50.00                     |
| 62143 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 V | 200,000,000          | 2016/02/19   | 2016/10/28 | 50.00                     |
| 62155 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 F | 200,000,000          | 2016/02/19   | 2016/11/29 | 50.00                     |
| 62137 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 K | 200,000,000          | 2016/02/19   | 2016/12/29 | 55.00                     |
| 62152 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 L | 200,000,000          | 2016/02/19   | 2016/12/29 | 50.00                     |
| 62157 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 C | 200,000,000          | 2016/02/19   | 2016/08/30 | 50.00                     |
| 62159 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 D | 200,000,000          | 2016/02/19   | 2016/08/30 | 50.00                     |
| 62165 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 E | 200,000,000          | 2016/02/19   | 2016/08/30 | 50.00                     |
| 62166 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 F | 200,000,000          | 2016/02/19   | 2016/08/30 | 50.00                     |
| 62209 | UBS AG – CSOP A50 ETF R Bull CBBC Feb 2017 A                   | 50,000,000           | 2016/02/19   | 2017/02/13 | 12.50                     |
| 62210 | UBS AG – A50 China R Bull CBBC Feb 2017 A                      | 50,000,000           | 2016/02/19   | 2017/02/20 | 12.50                     |
| 62211 | UBS AG – HSCEI R Bull CBBC Dec 2016 C                          | 200,000,000          | 2016/02/19   | 2016/12/29 | 50.00                     |
| 62212 | UBS AG – HSCEI R Bear CBBC May 2016 B                          | 100,000,000          | 2016/02/19   | 2016/05/30 | 25.00                     |
| 62197 | UBS AG – HSI R Bull CBBC Apr 2017 F                            | 200,000,000          | 2016/02/19   | 2017/04/27 | 50.00                     |
| 62196 | UBS AG – HSI R Bull CBBC Jun 2017 I                            | 200,000,000          | 2016/02/19   | 2017/06/29 | 50.00                     |
| 62213 | UBS AG – HSI R Bear CBBC May 2016 S                            | 200,000,000          | 2016/02/19   | 2016/05/30 | 50.00                     |
| 62214 | UBS AG – HSI R Bear CBBC Jun 2016 M                            | 200,000,000          | 2016/02/19   | 2016/06/29 | 50.00                     |
| 62215 | UBS AG – HSI R Bear CBBC Jun 2016 N                            | 200,000,000          | 2016/02/19   | 2016/06/29 | 50.00                     |
| 62277 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 I       | 250,000,000          | 2016/02/22   | 2016/11/29 | 62.50                     |
| 62289 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 Q       | 250,000,000          | 2016/02/22   | 2016/11/29 | 62.50                     |
| 62279 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 Z       | 250,000,000          | 2016/02/22   | 2016/12/29 | 62.50                     |
| 62286 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 G                  | 200,000,000          | 2016/02/22   | 2016/12/29 | 50.00                     |
| 62287 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 H                  | 200,000,000          | 2016/02/22   | 2016/12/29 | 50.00                     |
| 62285 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 Z                  | 200,000,000          | 2016/02/22   | 2016/12/29 | 50.00                     |
| 62283 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 Q                  | 200,000,000          | 2016/02/22   | 2016/06/29 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 62280 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 U                  | 200,000,000          | 2016/02/22   | 2016/06/29 | 50.00                     |
| 62282 | Credit Suisse AG – HSI R Bear CBBC Aug 2016 C                  | 200,000,000          | 2016/02/22   | 2016/08/30 | 50.00                     |
| 62290 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 D           | 200,000,000          | 2016/02/22   | 2017/06/29 | 51.60                     |
| 62296 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 E           | 200,000,000          | 2016/02/22   | 2017/06/29 | 53.00                     |
| 62307 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 F           | 200,000,000          | 2016/02/22   | 2017/06/29 | 53.60                     |
| 62368 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 G           | 200,000,000          | 2016/02/22   | 2017/06/29 | 50.20                     |
| 62252 | HK Bank – ABC R Bull CBBC Nov 2017 A                           | 50,000,000           | 2016/02/22   | 2017/11/14 | 12.50                     |
| 62251 | HK Bank – AIA R Bull CBBC Jun 2017 B                           | 40,000,000           | 2016/02/22   | 2017/06/26 | 10.00                     |
| 62249 | HK Bank – AIA R Bear CBBC Jun 2017 A                           | 40,000,000           | 2016/02/22   | 2017/06/26 | 24.00                     |
| 62256 | HK Bank – CUni R Bull CBBC Jul 2017 A                          | 40,000,000           | 2016/02/22   | 2017/07/31 | 10.00                     |
| 62253 | HK Bank – CC Bank R Bull CBBC Aug 2017 A                       | 50,000,000           | 2016/02/22   | 2017/08/28 | 12.50                     |
| 62247 | HK Bank – HSCEI R Bear CBBC Oct 2016 E                         | 50,000,000           | 2016/02/22   | 2016/10/28 | 12.50                     |
| 62260 | HK Bank – HSI R Bear CBBC Oct 2016 J                           | 150,000,000          | 2016/02/22   | 2016/10/28 | 37.50                     |
| 62258 | HK Bank – HSI R Bear CBBC Nov 2016 E                           | 150,000,000          | 2016/02/22   | 2016/11/29 | 37.50                     |
| 62254 | HK Bank – Ping An R Bull CBBC Oct 2017 A                       | 50,000,000           | 2016/02/22   | 2017/10/30 | 12.50                     |
| 62255 | HK Bank – Ping An R Bear CBBC Oct 2017 A                       | 40,000,000           | 2016/02/22   | 2017/10/30 | 10.00                     |
| 62364 | J P Morgan SP BV – AIA R Bull CBBC Jun 2017 B                  | 150,000,000          | 2016/02/22   | 2017/06/16 | 37.50                     |
| 62359 | J P Morgan SP BV – CSOP A50 ETF R Bull CBBC Apr 2017 D         | 60,000,000           | 2016/02/22   | 2017/04/21 | 15.00                     |
| 62370 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 J                  | 200,000,000          | 2016/02/22   | 2017/01/26 | 50.00                     |
| 62374 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 O                  | 200,000,000          | 2016/02/22   | 2017/02/27 | 50.00                     |
| 62375 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 Q                  | 200,000,000          | 2016/02/22   | 2017/03/30 | 50.00                     |
| 62342 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 J                  | 200,000,000          | 2016/02/22   | 2016/06/29 | 50.00                     |
| 62343 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 L                  | 200,000,000          | 2016/02/22   | 2016/06/29 | 50.00                     |
| 62376 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 U                  | 150,000,000          | 2016/02/22   | 2016/07/28 | 37.50                     |
| 62377 | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 H                  | 150,000,000          | 2016/02/22   | 2016/08/30 | 37.50                     |
| 62354 | J P Morgan SP BV – Ping An R Bull CBBC Apr 2017 B              | 100,000,000          | 2016/02/22   | 2017/04/21 | 25.00                     |
| 62362 | J P Morgan SP BV – Tencent R Bull CBBC Feb 2017 D              | 60,000,000           | 2016/02/22   | 2017/02/17 | 15.00                     |
| 62276 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 I | 200,000,000          | 2016/02/22   | 2016/10/28 | 50.00                     |
| 62275 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 G | 200,000,000          | 2016/02/22   | 2016/11/29 | 50.00                     |
| 62272 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 M | 200,000,000          | 2016/02/22   | 2016/12/29 | 50.00                     |
| 62261 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 G | 200,000,000          | 2016/02/22   | 2016/08/30 | 50.00                     |
| 62267 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 H | 200,000,000          | 2016/02/22   | 2016/08/30 | 50.00                     |
| 62268 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 I | 200,000,000          | 2016/02/22   | 2016/08/30 | 50.00                     |
| 62269 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 J | 200,000,000          | 2016/02/22   | 2016/08/30 | 50.00                     |
| 62337 | UBS AG – HSCEI R Bull CBBC Jun 2017 A                          | 200,000,000          | 2016/02/22   | 2017/06/29 | 50.00                     |
| 62330 | UBS AG – HSI R Bull CBBC Jan 2017 D                            | 200,000,000          | 2016/02/22   | 2017/01/26 | 50.00                     |
| 62331 | UBS AG – HSI R Bull CBBC Apr 2017 G                            | 200,000,000          | 2016/02/22   | 2017/04/27 | 50.00                     |
| 62332 | UBS AG – HSI R Bull CBBC Apr 2017 H                            | 200,000,000          | 2016/02/22   | 2017/04/27 | 50.00                     |
| 62334 | UBS AG – HSI R Bull CBBC Jun 2017 J                            | 200,000,000          | 2016/02/22   | 2017/06/29 | 50.00                     |
| 62321 | UBS AG – HSI R Bear CBBC May 2016 T                            | 200,000,000          | 2016/02/22   | 2016/05/30 | 50.00                     |
| 62323 | UBS AG – HSI R Bear CBBC May 2016 U                            | 200,000,000          | 2016/02/22   | 2016/05/30 | 50.00                     |
| 62329 | UBS AG – HSI R Bear CBBC Jun 2016 O                            | 200,000,000          | 2016/02/22   | 2016/06/29 | 50.00                     |
| 62434 | BNP Paribas Arbit Issu B.V. – A50 Ch R Bull CBBC Dec 2016 D    | 100,000,000          | 2016/02/23   | 2016/12/30 | 25.00                     |
| 62433 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Nov 2016 P     | 100,000,000          | 2016/02/23   | 2016/11/29 | 25.00                     |
| 62431 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 E       | 250,000,000          | 2016/02/23   | 2016/12/29 | 62.50                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 62425 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 K       | 250,000,000          | 2016/02/23   | 2016/12/29 | 62.50                     |
| 62401 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 X       | 200,000,000          | 2016/02/23   | 2016/06/29 | 50.00                     |
| 62435 | BNP Paribas Arbit Issu B.V. – Ping An R Bull CBBC Dec 2016 F   | 50,000,000           | 2016/02/23   | 2016/12/30 | 12.50                     |
| 62466 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 F                  | 200,000,000          | 2016/02/23   | 2016/10/28 | 50.00                     |
| 62472 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 N                  | 200,000,000          | 2016/02/23   | 2016/11/29 | 50.00                     |
| 62476 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 O                  | 200,000,000          | 2016/02/23   | 2016/11/29 | 50.00                     |
| 62468 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 I                  | 200,000,000          | 2016/02/23   | 2016/12/29 | 50.00                     |
| 62461 | Credit Suisse AG – HSI R Bear CBBC May 2016 Y                  | 200,000,000          | 2016/02/23   | 2016/05/30 | 50.00                     |
| 62445 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 L                  | 200,000,000          | 2016/02/23   | 2016/07/28 | 50.00                     |
| 62417 | Bank of East Asia – CC Bank R Bull CBBC Feb 2017 A             | 60,000,000           | 2016/02/23   | 2017/02/13 | 15.00                     |
| 62416 | Bank of East Asia – China Life R Bull CBBC Feb 2017 B          | 30,000,000           | 2016/02/23   | 2017/02/10 | 13.50                     |
| 62418 | Bank of East Asia – A50 China R Bull CBBC Jan 2017 B           | 40,000,000           | 2016/02/23   | 2017/01/27 | 10.00                     |
| 62421 | Bank of East Asia – Galaxy Ent R Bull CBBC Feb 2017 B          | 25,000,000           | 2016/02/23   | 2017/02/17 | 10.00                     |
| 62415 | Bank of East Asia – HSBC Holdings R Bull CBBC Jan 2017 B       | 60,000,000           | 2016/02/23   | 2017/01/24 | 15.00                     |
| 62530 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 H           | 200,000,000          | 2016/02/23   | 2017/06/29 | 52.40                     |
| 62531 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 I           | 200,000,000          | 2016/02/23   | 2017/06/29 | 54.20                     |
| 62392 | HK Bank – China Life R Bull CBBC Jul 2017 A                    | 50,000,000           | 2016/02/23   | 2017/07/31 | 30.00                     |
| 62398 | HK Bank – A50 R Bull CBBC Jan 2017 C                           | 50,000,000           | 2016/02/23   | 2017/01/16 | 12.50                     |
| 62389 | HK Bank – Great Wall Motor R Bull CBBC Dec 2016 B              | 40,000,000           | 2016/02/23   | 2016/12/19 | 10.00                     |
| 62400 | HK Bank – HKEX R Bull CBBC Oct 2016 V                          | 50,000,000           | 2016/02/23   | 2016/10/24 | 12.50                     |
| 62396 | HK Bank – HSI R Bull CBBC Dec 2016 Q                           | 150,000,000          | 2016/02/23   | 2016/12/29 | 37.50                     |
| 62385 | HK Bank – Lenovo R Bull CBBC Dec 2017 A                        | 40,000,000           | 2016/02/23   | 2017/12/29 | 10.00                     |
| 62382 | HK Bank – PICC P&C R Bull CBBC Jul 2017 A                      | 40,000,000           | 2016/02/23   | 2017/07/31 | 12.00                     |
| 62390 | HK Bank – Ping An R Bull CBBC Dec 2016 G                       | 50,000,000           | 2016/02/23   | 2016/12/05 | 12.50                     |
| 62393 | HK Bank – TCH R Bear CBBC Nov 2016 D                           | 40,000,000           | 2016/02/23   | 2016/11/28 | 10.00                     |
| 62527 | J P Morgan SP BV – A50 China R Bull CBBC Mar 2017 B            | 80,000,000           | 2016/02/23   | 2017/03/17 | 20.00                     |
| 62529 | J P Morgan SP BV – HSBC R Bull CBBC Jun 2017 B                 | 120,000,000          | 2016/02/23   | 2017/06/16 | 30.00                     |
| 62486 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 R                  | 200,000,000          | 2016/02/23   | 2017/03/30 | 50.00                     |
| 62487 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 N                  | 200,000,000          | 2016/02/23   | 2017/04/27 | 50.00                     |
| 62483 | J P Morgan SP BV – HSI R Bear CBBC May 2016 B                  | 200,000,000          | 2016/02/23   | 2016/05/30 | 50.00                     |
| 62485 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 M                  | 200,000,000          | 2016/02/23   | 2016/06/29 | 50.00                     |
| 62493 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 V                  | 200,000,000          | 2016/02/23   | 2016/07/28 | 50.00                     |
| 62526 | J P Morgan SP BV – Ping An R Bull CBBC Feb 2017 C              | 100,000,000          | 2016/02/23   | 2017/02/17 | 25.00                     |
| 62436 | Macquarie Bank Ltd. – HSI R Bull CBBC Sep 2016 C               | 40,000,000           | 2016/02/23   | 2016/09/29 | 10.00                     |
| 62440 | Macquarie Bank Ltd. – HSI R Bull CBBC Nov 2016 D               | 40,000,000           | 2016/02/23   | 2016/11/29 | 10.00                     |
| 62443 | Macquarie Bank Ltd. – HSI R Bull CBBC Nov 2016 E               | 40,000,000           | 2016/02/23   | 2016/11/29 | 10.20                     |
| 62407 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 J | 200,000,000          | 2016/02/23   | 2016/10/28 | 50.00                     |
| 62410 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 K | 200,000,000          | 2016/02/23   | 2016/10/28 | 50.00                     |
| 62413 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 L | 200,000,000          | 2016/02/23   | 2016/10/28 | 50.00                     |
| 62409 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 H | 200,000,000          | 2016/02/23   | 2016/11/29 | 50.00                     |
| 62411 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 U | 200,000,000          | 2016/02/23   | 2016/12/29 | 50.00                     |
| 62406 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 Z | 200,000,000          | 2016/02/23   | 2016/05/30 | 50.00                     |
| 62402 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 K | 200,000,000          | 2016/02/23   | 2016/08/30 | 50.00                     |
| 62508 | UBS AG – HS H-SH ETF R Bull CBBC Dec 2016 A                    | 100,000,000          | 2016/02/23   | 2016/12/28 | 25.00                     |
| 62511 | UBS AG – HS H-SH ETF R Bull CBBC Dec 2016 B                    | 100,000,000          | 2016/02/23   | 2016/12/22 | 25.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 62524 | UBS AG – HSCEI R Bull CBBC Jun 2017 B                          | 200,000,000          | 2016/02/23   | 2017/06/29 | 50.00                     |
| 62518 | UBS AG – HSI R Bull CBBC Mar 2017 L                            | 200,000,000          | 2016/02/23   | 2017/03/30 | 50.00                     |
| 62513 | UBS AG – HSI R Bull CBBC Apr 2017 I                            | 200,000,000          | 2016/02/23   | 2017/04/27 | 50.00                     |
| 62514 | UBS AG – HSI R Bull CBBC Jun 2017 K                            | 200,000,000          | 2016/02/23   | 2017/06/29 | 50.00                     |
| 62523 | UBS AG – HSI R Bull CBBC Jul 2017 C                            | 200,000,000          | 2016/02/23   | 2017/07/28 | 50.00                     |
| 62499 | UBS AG – HSI R Bear CBBC May 2016 O                            | 200,000,000          | 2016/02/23   | 2016/05/30 | 50.00                     |
| 62505 | UBS AG – HSI R Bear CBBC May 2016 R                            | 200,000,000          | 2016/02/23   | 2016/05/30 | 50.00                     |
| 62506 | UBS AG – Tracker Fund R Bull CBBC Sep 2016 A                   | 50,000,000           | 2016/02/23   | 2016/09/26 | 12.50                     |
| 62507 | UBS AG – Tracker Fund R Bull CBBC Sep 2016 B                   | 50,000,000           | 2016/02/23   | 2016/09/30 | 12.50                     |
| 62589 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 Y       | 200,000,000          | 2016/02/24   | 2016/06/29 | 50.00                     |
| 62552 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 O                  | 200,000,000          | 2016/02/24   | 2016/10/28 | 50.00                     |
| 62562 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 P                  | 200,000,000          | 2016/02/24   | 2016/10/28 | 50.00                     |
| 62568 | Credit Suisse AG – HSI R Bear CBBC May 2016 Z                  | 200,000,000          | 2016/02/24   | 2016/05/30 | 50.00                     |
| 62566 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 R                  | 200,000,000          | 2016/02/24   | 2016/06/29 | 50.00                     |
| 62590 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 O           | 200,000,000          | 2016/02/24   | 2016/05/30 | 51.20                     |
| 62591 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 P           | 200,000,000          | 2016/02/24   | 2016/05/30 | 52.20                     |
| 62536 | HK Bank – CNOOC R Bull CBBC Nov 2016 K                         | 50,000,000           | 2016/02/24   | 2016/11/21 | 12.50                     |
| 62534 | HK Bank – Sinopec Corp R Bull CBBC Oct 2016 E                  | 50,000,000           | 2016/02/24   | 2016/10/24 | 12.50                     |
| 62542 | HK Bank – CSOP A50 ETF R Bull CBBC Mar 2017 H                  | 50,000,000           | 2016/02/24   | 2017/03/10 | 12.50                     |
| 62543 | HK Bank – A50 R Bull CBBC Mar 2017 G                           | 50,000,000           | 2016/02/24   | 2017/03/10 | 12.50                     |
| 62547 | HK Bank – HSCEI R Bull CBBC Dec 2016 J                         | 60,000,000           | 2016/02/24   | 2016/12/29 | 15.00                     |
| 62544 | HK Bank – HSI R Bull CBBC Nov 2016 T                           | 400,000,000          | 2016/02/24   | 2016/11/29 | 100.00                    |
| 62533 | HK Bank – PetCh R Bull CBBC Nov 2016 I                         | 50,000,000           | 2016/02/24   | 2016/11/21 | 12.50                     |
| 62538 | HK Bank – Ping An R Bull CBBC Oct 2016 L                       | 40,000,000           | 2016/02/24   | 2016/10/24 | 12.00                     |
| 62578 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 P                  | 200,000,000          | 2016/02/24   | 2017/02/27 | 50.00                     |
| 62587 | J P Morgan SP BV – HSI R Bull CBBC Jun 2017 F                  | 150,000,000          | 2016/02/24   | 2017/06/29 | 37.50                     |
| 62583 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 N                  | 150,000,000          | 2016/02/24   | 2016/06/29 | 37.50                     |
| 62584 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 W                  | 200,000,000          | 2016/02/24   | 2016/07/28 | 50.00                     |
| 62551 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 H | 200,000,000          | 2016/02/24   | 2016/05/30 | 50.00                     |
| 62571 | UBS AG – HKEX R Bull CBBC Sep 2016 D                           | 100,000,000          | 2016/02/24   | 2016/09/12 | 25.00                     |
| 62573 | UBS AG – HSBC R Bear CBBC Sep 2016 A                           | 100,000,000          | 2016/02/24   | 2016/09/19 | 25.00                     |
| 62570 | UBS AG – HSI R Bull CBBC Nov 2016 Y                            | 200,000,000          | 2016/02/24   | 2016/11/29 | 50.00                     |
| 62577 | UBS AG – HSI R Bear CBBC May 2016 V                            | 200,000,000          | 2016/02/24   | 2016/05/30 | 50.00                     |
| 62574 | UBS AG – HSI R Bear CBBC Jun 2016 P                            | 200,000,000          | 2016/02/24   | 2016/06/29 | 50.00                     |
| 62576 | UBS AG – HSI R Bear CBBC Jun 2016 Q                            | 200,000,000          | 2016/02/24   | 2016/06/29 | 50.00                     |
| 62625 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 P       | 250,000,000          | 2016/02/25   | 2016/11/29 | 62.50                     |
| 62607 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC May 2016 E       | 200,000,000          | 2016/02/25   | 2016/05/30 | 50.00                     |
| 62611 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 Z       | 200,000,000          | 2016/02/25   | 2016/06/29 | 50.00                     |
| 62621 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 P                  | 200,000,000          | 2016/02/25   | 2016/11/29 | 50.00                     |
| 62622 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 R                  | 200,000,000          | 2016/02/25   | 2016/11/29 | 50.00                     |
| 62620 | Credit Suisse AG – HSI R Bear CBBC May 2016 T                  | 200,000,000          | 2016/02/25   | 2016/05/30 | 50.00                     |
| 62618 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 V                  | 200,000,000          | 2016/02/25   | 2016/06/29 | 50.00                     |
| 62648 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 J           | 200,000,000          | 2016/02/25   | 2017/06/29 | 51.60                     |
| 62649 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 K           | 200,000,000          | 2016/02/25   | 2017/06/29 | 51.80                     |
| 62650 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 L           | 200,000,000          | 2016/02/25   | 2017/06/29 | 52.20                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 62595 | HK Bank – Galaxy Ent R Bull CBBC Nov 2016 I                    | 40,000,000           | 2016/02/25   | 2016/11/21 | 14.00                     |
| 62593 | HK Bank – HSI R Bear CBBC Sep 2016 P                           | 150,000,000          | 2016/02/25   | 2016/09/29 | 37.50                     |
| 62594 | HK Bank – TCH R Bull CBBC Dec 2016 E                           | 50,000,000           | 2016/02/25   | 2016/12/12 | 12.50                     |
| 62641 | J P Morgan SP BV – COVS R Bull CBBC Jul 2017 A                 | 20,000,000           | 2016/02/25   | 2017/07/21 | 10.00                     |
| 62639 | J P Morgan SP BV – Galaxy Ent R Bull CBBC Jun 2017 A           | 100,000,000          | 2016/02/25   | 2017/06/16 | 25.00                     |
| 62640 | J P Morgan SP BV – HKEX R Bull CBBC Jan 2017 D                 | 40,000,000           | 2016/02/25   | 2017/01/20 | 10.00                     |
| 62636 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 M                  | 200,000,000          | 2016/02/25   | 2017/01/26 | 50.00                     |
| 62637 | J P Morgan SP BV – HSI R Bull CBBC Jul 2017 D                  | 200,000,000          | 2016/02/25   | 2017/07/28 | 50.00                     |
| 62643 | J P Morgan SP BV – HSI R Bear CBBC May 2016 C                  | 200,000,000          | 2016/02/25   | 2016/05/30 | 50.00                     |
| 62635 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 X                  | 200,000,000          | 2016/02/25   | 2016/07/28 | 50.00                     |
| 62613 | Macquarie Bank Ltd. – HSI R Bull CBBC Sep 2016 D               | 40,000,000           | 2016/02/25   | 2016/09/29 | 10.00                     |
| 62612 | Macquarie Bank Ltd. – HSI R Bull CBBC Nov 2016 F               | 40,000,000           | 2016/02/25   | 2016/11/29 | 10.00                     |
| 62614 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 I | 200,000,000          | 2016/02/25   | 2016/11/29 | 50.00                     |
| 62616 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 V | 200,000,000          | 2016/02/25   | 2016/12/29 | 50.00                     |
| 62617 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 W | 200,000,000          | 2016/02/25   | 2016/12/29 | 50.00                     |
| 62605 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC May16 U | 200,000,000          | 2016/02/25   | 2016/05/30 | 50.00                     |
| 62603 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 S | 200,000,000          | 2016/02/25   | 2016/06/29 | 50.00                     |
| 62599 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 Y | 200,000,000          | 2016/02/25   | 2016/07/28 | 50.00                     |
| 62634 | UBS AG – HSI R Bull CBBC Feb 2017 A                            | 200,000,000          | 2016/02/25   | 2017/02/27 | 50.00                     |
| 62632 | UBS AG – HSI R Bull CBBC Jun 2017 L                            | 200,000,000          | 2016/02/25   | 2017/06/29 | 50.00                     |
| 62630 | UBS AG – HSI R Bear CBBC May 2016 W                            | 200,000,000          | 2016/02/25   | 2016/05/30 | 50.00                     |
| 62631 | UBS AG – HSI R Bear CBBC Jun 2016 R                            | 200,000,000          | 2016/02/25   | 2016/06/29 | 50.00                     |
| 62695 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 J                  | 200,000,000          | 2016/02/26   | 2016/12/29 | 50.00                     |
| 62696 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 M                  | 200,000,000          | 2016/02/26   | 2016/07/28 | 50.00                     |
| 62703 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 M           | 200,000,000          | 2016/02/26   | 2017/06/29 | 51.80                     |
| 62704 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 N           | 200,000,000          | 2016/02/26   | 2017/06/29 | 52.60                     |
| 62705 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 Q           | 200,000,000          | 2016/02/26   | 2016/05/30 | 51.20                     |
| 62665 | HK Bank – AIA R Bull CBBC Dec 2016 B                           | 40,000,000           | 2016/02/26   | 2016/12/19 | 12.00                     |
| 62663 | HK Bank – CAM CSI300 R Bull CBBC Nov 2016 D                    | 50,000,000           | 2016/02/26   | 2016/11/28 | 17.50                     |
| 62657 | HK Bank – China Mobile R Bull CBBC Nov 2016 G                  | 50,000,000           | 2016/02/26   | 2016/11/21 | 12.50                     |
| 62662 | HK Bank – CC Bank R Bull CBBC Nov 2016 F                       | 50,000,000           | 2016/02/26   | 2016/11/21 | 12.50                     |
| 62659 | HK Bank – CNOOC R Bull CBBC Nov 2016 L                         | 50,000,000           | 2016/02/26   | 2016/11/21 | 12.50                     |
| 62670 | HK Bank – Great Wall Motor R Bull CBBC Jan 2017 A              | 40,000,000           | 2016/02/26   | 2017/01/16 | 10.00                     |
| 62661 | HK Bank – HKEX R Bull CBBC Nov 2016 H                          | 50,000,000           | 2016/02/26   | 2016/11/14 | 12.50                     |
| 62653 | HK Bank – HSI R Bull CBBC Sep 2016 H                           | 150,000,000          | 2016/02/26   | 2016/09/29 | 37.50                     |
| 62652 | HK Bank – HSI R Bull CBBC Dec 2016 R                           | 150,000,000          | 2016/02/26   | 2016/12/29 | 37.50                     |
| 62658 | HK Bank – Sands China R Bull CBBC Nov 2016 C                   | 40,000,000           | 2016/02/26   | 2016/11/28 | 16.00                     |
| 62701 | J P Morgan SP BV – China Life R Bull CBBC Jul 2017 A           | 35,000,000           | 2016/02/26   | 2017/07/21 | 10.50                     |
| 62676 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 Q                  | 200,000,000          | 2016/02/26   | 2017/02/27 | 50.00                     |
| 62697 | J P Morgan SP BV – HSI R Bull CBBC Jul 2017 E                  | 150,000,000          | 2016/02/26   | 2017/07/28 | 37.50                     |
| 62699 | J P Morgan SP BV – HSI R Bear CBBC May 2016 G                  | 150,000,000          | 2016/02/26   | 2016/05/30 | 37.50                     |
| 62686 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 N | 200,000,000          | 2016/02/26   | 2016/10/28 | 50.00                     |
| 62688 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 Z | 200,000,000          | 2016/02/26   | 2016/07/28 | 50.00                     |
| 62693 | UBS AG – HSI R Bull CBBC Apr 2017 J                            | 200,000,000          | 2016/02/26   | 2017/04/27 | 50.00                     |
| 62694 | UBS AG – HSI R Bear CBBC May 2016 Z                            | 200,000,000          | 2016/02/26   | 2016/05/30 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 62716 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 C       | 250,000,000          | 2016/02/29   | 2016/11/29 | 62.50                     |
| 62715 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 L       | 250,000,000          | 2016/02/29   | 2016/12/29 | 62.50                     |
| 62706 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 B       | 200,000,000          | 2016/02/29   | 2016/07/28 | 50.00                     |
| 62730 | Credit Suisse AG – HKEX R Bull CBBC Oct 2016 A                 | 60,000,000           | 2016/02/29   | 2016/10/28 | 15.00                     |
| 62739 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 K                  | 200,000,000          | 2016/02/29   | 2016/12/29 | 50.00                     |
| 62740 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 L                  | 200,000,000          | 2016/02/29   | 2016/12/29 | 50.00                     |
| 62714 | Credit Suisse AG – HSI R Bear CBBC May 2016 W                  | 200,000,000          | 2016/02/29   | 2016/05/30 | 50.00                     |
| 62751 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 O           | 200,000,000          | 2016/02/29   | 2017/06/29 | 51.20                     |
| 62752 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 P           | 200,000,000          | 2016/02/29   | 2017/06/29 | 52.20                     |
| 62764 | Goldman Sachs SP (Asia) – HSI R Bear CBBC May 2016 R           | 200,000,000          | 2016/02/29   | 2016/05/30 | 50.20                     |
| 62742 | J P Morgan SP BV – CSOP A50 ETF R Bull CBBC May 2017 A         | 60,000,000           | 2016/02/29   | 2017/05/19 | 15.00                     |
| 62720 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 R                  | 200,000,000          | 2016/02/29   | 2017/02/27 | 50.00                     |
| 62726 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 O                  | 150,000,000          | 2016/02/29   | 2017/04/27 | 37.50                     |
| 62724 | J P Morgan SP BV – HSI R Bear CBBC May 2016 A                  | 200,000,000          | 2016/02/29   | 2016/05/30 | 50.00                     |
| 62721 | J P Morgan SP BV – HSI R Bear CBBC May 2016 Z                  | 200,000,000          | 2016/02/29   | 2016/05/30 | 50.00                     |
| 62718 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 H                  | 150,000,000          | 2016/02/29   | 2016/06/29 | 37.50                     |
| 62741 | J P Morgan SP BV – Ping An R Bull CBBC May 2017 B              | 100,000,000          | 2016/02/29   | 2017/05/19 | 25.00                     |
| 62711 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 J | 200,000,000          | 2016/02/29   | 2016/11/29 | 50.00                     |
| 62712 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 X | 200,000,000          | 2016/02/29   | 2016/12/29 | 50.00                     |
| 62746 | UBS AG – HSI R Bull CBBC Jun 2016 T                            | 200,000,000          | 2016/02/29   | 2016/06/29 | 50.00                     |
| 62748 | UBS AG – HSI R Bull CBBC Nov 2016 Z                            | 200,000,000          | 2016/02/29   | 2016/11/29 | 50.00                     |
| 62745 | UBS AG – HSI R Bear CBBC May 2016 S                            | 200,000,000          | 2016/02/29   | 2016/05/30 | 50.00                     |
| 62795 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 Q                  | 200,000,000          | 2016/03/01   | 2016/10/28 | 50.00                     |
| 62796 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 R                  | 200,000,000          | 2016/03/01   | 2016/10/28 | 50.00                     |
| 62797 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 N                  | 200,000,000          | 2016/03/01   | 2016/06/29 | 50.00                     |
| 62789 | HK Bank – CUni R Bull CBBC Dec 2016 B                          | 40,000,000           | 2016/03/01   | 2016/12/19 | 10.00                     |
| 62783 | HK Bank – China Life R Bull CBBC Nov 2016 E                    | 50,000,000           | 2016/03/01   | 2016/11/14 | 12.50                     |
| 62774 | HK Bank – CSOP A50 ETF R Bull CBBC Jan 2017 B                  | 50,000,000           | 2016/03/01   | 2017/01/16 | 12.50                     |
| 62792 | HK Bank – A50 R Bull CBBC Mar 2017 H                           | 50,000,000           | 2016/03/01   | 2017/03/27 | 12.50                     |
| 62768 | HK Bank – Galaxy Ent R Bull CBBC May 2017 A                    | 40,000,000           | 2016/03/01   | 2017/05/29 | 11.20                     |
| 62784 | HK Bank – HKEX R Bull CBBC Oct 2016 W                          | 50,000,000           | 2016/03/01   | 2016/10/31 | 12.50                     |
| 62770 | HK Bank – HS H-SH ETF R Bull CBBC Mar 2017 A                   | 50,000,000           | 2016/03/01   | 2017/03/06 | 12.50                     |
| 62772 | HK Bank – HSCEI R Bull CBBC Oct 2016 P                         | 60,000,000           | 2016/03/01   | 2016/10/28 | 15.00                     |
| 62771 | HK Bank – HSI R Bull CBBC Dec 2016 S                           | 150,000,000          | 2016/03/01   | 2016/12/29 | 37.50                     |
| 62782 | HK Bank – Ping An R Bull CBBC Dec 2016 H                       | 50,000,000           | 2016/03/01   | 2016/12/12 | 12.50                     |
| 62767 | HK Bank – SHK Ppt R Bull CBBC Jan 2017 C                       | 40,000,000           | 2016/03/01   | 2017/01/23 | 10.00                     |
| 62803 | J P Morgan SP BV – AIA R Bull CBBC Jan 2017 C                  | 150,000,000          | 2016/03/01   | 2017/01/20 | 37.50                     |
| 62798 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 S                  | 200,000,000          | 2016/03/01   | 2017/03/30 | 50.00                     |
| 62799 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 T                  | 150,000,000          | 2016/03/01   | 2017/03/30 | 37.50                     |
| 62800 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 O                  | 200,000,000          | 2016/03/01   | 2016/06/29 | 50.00                     |
| 62801 | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 I                  | 150,000,000          | 2016/03/01   | 2016/08/30 | 37.50                     |
| 62802 | J P Morgan SP BV – Tencent R Bull CBBC Apr 2017 A              | 60,000,000           | 2016/03/01   | 2017/04/21 | 15.00                     |
| 62793 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 M | 200,000,000          | 2016/03/01   | 2016/10/28 | 50.00                     |
| 62794 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 L | 200,000,000          | 2016/03/01   | 2016/08/30 | 50.00                     |
| 62804 | UBS AG – HSI R Bull CBBC Jun 2017 M                            | 200,000,000          | 2016/03/01   | 2017/06/29 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 62805 | UBS AG – HSI R Bear CBBC Jun 2016 S                            | 200,000,000          | 2016/03/01   | 2016/06/29 | 50.00                     |
| 62807 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 F       | 250,000,000          | 2016/03/02   | 2016/11/29 | 62.50                     |
| 62808 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 W       | 250,000,000          | 2016/03/02   | 2016/12/29 | 62.50                     |
| 62818 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 I       | 200,000,000          | 2016/03/02   | 2016/06/29 | 50.00                     |
| 62827 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 S                  | 200,000,000          | 2016/03/02   | 2016/11/29 | 50.00                     |
| 62828 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 A                  | 200,000,000          | 2016/03/02   | 2016/12/29 | 50.00                     |
| 62829 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 W                  | 200,000,000          | 2016/03/02   | 2016/06/29 | 50.00                     |
| 62830 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 N                  | 200,000,000          | 2016/03/02   | 2016/07/28 | 50.00                     |
| 62851 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 Q           | 200,000,000          | 2016/03/02   | 2017/06/29 | 51.00                     |
| 62817 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 A           | 200,000,000          | 2016/03/02   | 2016/07/28 | 50.80                     |
| 62852 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 B           | 200,000,000          | 2016/03/02   | 2016/07/28 | 51.00                     |
| 62853 | J P Morgan SP BV – CNOOC R Bull CBBC May 2017 A                | 68,000,000           | 2016/03/02   | 2017/05/19 | 17.00                     |
| 62854 | J P Morgan SP BV – CNOOC R Bear CBBC Feb 2017 A                | 68,000,000           | 2016/03/02   | 2017/02/17 | 17.00                     |
| 62816 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 R                  | 200,000,000          | 2016/03/02   | 2017/01/26 | 50.00                     |
| 62850 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 U                  | 150,000,000          | 2016/03/02   | 2017/03/30 | 37.50                     |
| 62843 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 P                  | 200,000,000          | 2016/03/02   | 2016/06/29 | 50.00                     |
| 62844 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 Y                  | 150,000,000          | 2016/03/02   | 2016/07/28 | 37.50                     |
| 62812 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 O | 200,000,000          | 2016/03/02   | 2016/10/28 | 50.00                     |
| 62814 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 K | 200,000,000          | 2016/03/02   | 2016/11/29 | 50.00                     |
| 62815 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 I | 200,000,000          | 2016/03/02   | 2016/07/28 | 50.00                     |
| 62819 | UBS AG – HSI R Bull CBBC Apr 2017 K                            | 200,000,000          | 2016/03/02   | 2017/04/27 | 50.00                     |
| 62821 | UBS AG – HSI R Bull CBBC Jun 2017 N                            | 200,000,000          | 2016/03/02   | 2017/06/29 | 50.00                     |
| 62822 | UBS AG – HSI R Bear CBBC Jun 2016 T                            | 200,000,000          | 2016/03/02   | 2016/06/29 | 50.00                     |
| 62826 | UBS AG – HSI R Bear CBBC Jun 2016 U                            | 200,000,000          | 2016/03/02   | 2016/06/29 | 50.00                     |
| 62869 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 Y       | 250,000,000          | 2016/03/03   | 2016/11/29 | 62.50                     |
| 62861 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 B       | 250,000,000          | 2016/03/03   | 2016/12/29 | 62.50                     |
| 62870 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 J       | 200,000,000          | 2016/03/03   | 2016/06/29 | 50.00                     |
| 62880 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 G                  | 200,000,000          | 2016/03/03   | 2016/10/28 | 50.00                     |
| 62883 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 E                  | 200,000,000          | 2016/03/03   | 2016/11/29 | 50.00                     |
| 62888 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 X                  | 200,000,000          | 2016/03/03   | 2016/06/29 | 50.00                     |
| 62890 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 O                  | 200,000,000          | 2016/03/03   | 2016/07/28 | 50.00                     |
| 62862 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 C           | 200,000,000          | 2016/03/03   | 2016/07/28 | 51.20                     |
| 62925 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 D           | 200,000,000          | 2016/03/03   | 2016/07/28 | 51.20                     |
| 62860 | HK Bank – HSCEI R Bear CBBC Dec 2016 B                         | 50,000,000           | 2016/03/03   | 2016/12/29 | 12.50                     |
| 62856 | HK Bank – HSI R Bear CBBC Nov 2016 F                           | 400,000,000          | 2016/03/03   | 2016/11/29 | 100.00                    |
| 62857 | HK Bank – HSI R Bear CBBC Dec 2016 F                           | 150,000,000          | 2016/03/03   | 2016/12/29 | 37.50                     |
| 62924 | J P Morgan SP BV – HSBC R Bear CBBC Dec 2016 A                 | 120,000,000          | 2016/03/03   | 2016/12/16 | 30.00                     |
| 62916 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 S                  | 200,000,000          | 2016/03/03   | 2017/02/27 | 50.00                     |
| 62917 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 V                  | 200,000,000          | 2016/03/03   | 2017/03/30 | 50.00                     |
| 62918 | J P Morgan SP BV – HSI R Bull CBBC Jun 2017 G                  | 150,000,000          | 2016/03/03   | 2017/06/29 | 37.50                     |
| 62922 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 Q                  | 200,000,000          | 2016/03/03   | 2016/06/29 | 50.00                     |
| 62923 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 Z                  | 200,000,000          | 2016/03/03   | 2016/07/28 | 50.00                     |
| 62875 | Macquarie Bank Ltd. – HSI R Bear CBBC Aug 2016 H               | 40,000,000           | 2016/03/03   | 2016/08/30 | 10.00                     |
| 62873 | Macquarie Bank Ltd. – HSI R Bear CBBC Oct 2016 B               | 40,000,000           | 2016/03/03   | 2016/10/28 | 10.00                     |
| 62863 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 S | 200,000,000          | 2016/03/03   | 2016/10/28 | 50.00                     |



# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                     | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 62872 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 I   | 200,000,000          | 2016/03/03   | 2016/12/29 | 50.00                     |
| 62865 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 L   | 200,000,000          | 2016/03/03   | 2016/07/28 | 50.00                     |
| 62868 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 M   | 200,000,000          | 2016/03/03   | 2016/07/28 | 50.00                     |
| 62904 | UBS AG – HSI R Bull CBBC May 2017 A                              | 200,000,000          | 2016/03/03   | 2017/05/29 | 50.00                     |
| 62910 | UBS AG – HSI R Bull CBBC Jun 2017 O                              | 200,000,000          | 2016/03/03   | 2017/06/29 | 50.00                     |
| 62913 | UBS AG – HSI R Bear CBBC Jun 2016 V                              | 200,000,000          | 2016/03/03   | 2016/06/29 | 50.00                     |
| 62914 | UBS AG – HSI R Bear CBBC Jun 2016 W                              | 200,000,000          | 2016/03/03   | 2016/06/29 | 50.00                     |
| 62915 | UBS AG – HSI R Bear CBBC Jul 2016 A                              | 200,000,000          | 2016/03/03   | 2016/07/28 | 50.00                     |
| 62950 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 H         | 250,000,000          | 2016/03/04   | 2016/11/29 | 62.50                     |
| 62943 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 K         | 200,000,000          | 2016/03/04   | 2016/06/29 | 50.00                     |
| 62942 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 C         | 200,000,000          | 2016/03/04   | 2016/07/28 | 50.00                     |
| 62946 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 T                    | 200,000,000          | 2016/03/04   | 2016/11/29 | 50.00                     |
| 62947 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 R                    | 200,000,000          | 2016/03/04   | 2016/12/29 | 50.00                     |
| 62945 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 Y                    | 200,000,000          | 2016/03/04   | 2016/06/29 | 50.00                     |
| 62944 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 P                    | 200,000,000          | 2016/03/04   | 2016/07/28 | 50.00                     |
| 62941 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 A             | 200,000,000          | 2016/03/04   | 2017/05/29 | 52.00                     |
| 62998 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 B             | 200,000,000          | 2016/03/04   | 2017/05/29 | 50.60                     |
| 62997 | J P Morgan SP BV – China Life R Bear CBBC Jan 2017 A             | 35,000,000           | 2016/03/04   | 2017/01/20 | 15.75                     |
| 62982 | J P Morgan SP BV – Galaxy Ent R Bear CBBC Jan 2017 A             | 120,000,000          | 2016/03/04   | 2017/01/20 | 30.00                     |
| 62980 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 O                    | 200,000,000          | 2016/03/04   | 2016/12/29 | 50.00                     |
| 62979 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 P                    | 200,000,000          | 2016/03/04   | 2017/04/27 | 50.00                     |
| 62977 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 R                    | 200,000,000          | 2016/03/04   | 2016/06/29 | 50.00                     |
| 62978 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 K                    | 200,000,000          | 2016/03/04   | 2016/07/28 | 50.00                     |
| 62994 | J P Morgan SP BV – Sands China R Bear CBBC Dec 2016 A            | 120,000,000          | 2016/03/04   | 2016/12/16 | 30.00                     |
| 62933 | SGA Societe Generale Acceptance N.V. – CSA50 R Bull CBBC Nov16 A | 100,000,000          | 2016/03/04   | 2016/11/29 | 25.00                     |
| 62930 | SGA Societe Generale Acceptance N.V. – CSA50 R Bull CBBC Feb17 C | 100,000,000          | 2016/03/04   | 2017/02/27 | 25.00                     |
| 62935 | SGA Societe Generale Acceptance N.V. – A50 R Bull CBBC Apr17 B   | 100,000,000          | 2016/03/04   | 2017/04/27 | 25.00                     |
| 62952 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 H   | 200,000,000          | 2016/03/04   | 2016/12/29 | 50.00                     |
| 62951 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 J   | 200,000,000          | 2016/03/04   | 2016/12/29 | 50.00                     |
| 62938 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 M   | 200,000,000          | 2016/03/04   | 2016/08/30 | 50.00                     |
| 62940 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 N   | 200,000,000          | 2016/03/04   | 2016/08/30 | 50.00                     |
| 62975 | UBS AG – HSI R Bull CBBC Apr 2017 L                              | 200,000,000          | 2016/03/04   | 2017/04/27 | 50.00                     |
| 62976 | UBS AG – HSI R Bull CBBC Apr 2017 M                              | 200,000,000          | 2016/03/04   | 2017/04/27 | 50.00                     |
| 62974 | UBS AG – HSI R Bull CBBC Jun 2017 P                              | 200,000,000          | 2016/03/04   | 2017/06/29 | 50.00                     |
| 62960 | UBS AG – HSI R Bear CBBC Jun 2016 X                              | 200,000,000          | 2016/03/04   | 2016/06/29 | 50.00                     |
| 62970 | UBS AG – HSI R Bear CBBC Jul 2016 B                              | 200,000,000          | 2016/03/04   | 2016/07/28 | 50.00                     |
| 62972 | UBS AG – HSI R Bear CBBC Jul 2016 C                              | 200,000,000          | 2016/03/04   | 2016/07/28 | 50.00                     |
| 63022 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 K                    | 200,000,000          | 2016/03/07   | 2016/10/28 | 50.00                     |
| 63024 | Credit Suisse AG – HSI R Bear CBBC Aug 2016 D                    | 200,000,000          | 2016/03/07   | 2016/08/30 | 50.00                     |
| 63020 | Bank of East Asia – Galaxy Ent R Bear CBBC Feb 2017 A            | 40,000,000           | 2016/03/07   | 2017/02/27 | 10.00                     |
| 63021 | Bank of East Asia – Great Wall Motor R Bull CBBC Mar 2017 A      | 40,000,000           | 2016/03/07   | 2017/03/03 | 10.00                     |
| 63008 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 Q                    | 150,000,000          | 2016/03/07   | 2016/12/29 | 37.50                     |
| 63019 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 S                    | 200,000,000          | 2016/03/07   | 2016/06/29 | 50.00                     |
| 62999 | Macquarie Bank Ltd. – HSI R Bear CBBC Sep 2016 B                 | 40,000,000           | 2016/03/07   | 2016/09/29 | 10.00                     |
| 63000 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 L   | 200,000,000          | 2016/03/07   | 2016/11/29 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 63001 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 M | 200,000,000          | 2016/03/07   | 2016/11/29 | 50.00                     |
| 63003 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 O | 200,000,000          | 2016/03/07   | 2016/08/30 | 50.00                     |
| 63005 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 P | 200,000,000          | 2016/03/07   | 2016/08/30 | 50.00                     |
| 63026 | UBS AG – HSI R Bull CBBC Nov 2016 J                            | 200,000,000          | 2016/03/07   | 2016/11/29 | 50.00                     |
| 63025 | UBS AG – HSI R Bull CBBC May 2017 B                            | 200,000,000          | 2016/03/07   | 2017/05/29 | 50.00                     |
| 63027 | UBS AG – HSI R Bear CBBC Jun 2016 Y                            | 200,000,000          | 2016/03/07   | 2016/06/29 | 50.00                     |
| 63050 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 M       | 250,000,000          | 2016/03/08   | 2016/12/29 | 62.50                     |
| 63052 | Credit Suisse AG – HSI R Bull CBBC Jan 2017 F                  | 200,000,000          | 2016/03/08   | 2017/01/26 | 50.00                     |
| 63058 | Credit Suisse AG – HSI R Bull CBBC Jan 2017 G                  | 200,000,000          | 2016/03/08   | 2017/01/26 | 50.00                     |
| 63038 | Credit Suisse AG – HSI R Bear CBBC Aug 2016 E                  | 200,000,000          | 2016/03/08   | 2016/08/30 | 50.00                     |
| 63029 | HK Bank – HSCEI R Bear CBBC Nov 2016 D                         | 50,000,000           | 2016/03/08   | 2016/11/29 | 12.50                     |
| 63028 | HK Bank – HSI R Bear CBBC Nov 2016 G                           | 150,000,000          | 2016/03/08   | 2016/11/29 | 37.50                     |
| 63036 | HK Bank – ICBC R Bull CBBC Aug 2017 A                          | 50,000,000           | 2016/03/08   | 2017/08/28 | 12.50                     |
| 63034 | HK Bank – PICC P&C R Bull CBBC Oct 2017 A                      | 40,000,000           | 2016/03/08   | 2017/10/30 | 14.00                     |
| 63048 | J P Morgan SP BV – China Life R Bull CBBC Jul 2017 B           | 40,000,000           | 2016/03/08   | 2017/07/21 | 14.00                     |
| 63045 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 Z                  | 150,000,000          | 2016/03/08   | 2016/12/29 | 37.50                     |
| 63044 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 T                  | 200,000,000          | 2016/03/08   | 2017/02/27 | 50.00                     |
| 63046 | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 J                  | 150,000,000          | 2016/03/08   | 2016/08/30 | 37.50                     |
| 63039 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 U | 200,000,000          | 2016/03/08   | 2016/11/29 | 50.00                     |
| 63040 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 G | 200,000,000          | 2016/03/08   | 2016/07/28 | 50.00                     |
| 63043 | UBS AG – HSI R Bull CBBC Feb 2017 B                            | 200,000,000          | 2016/03/08   | 2017/02/27 | 50.00                     |
| 63041 | UBS AG – HSI R Bear CBBC Jul 2016 D                            | 200,000,000          | 2016/03/08   | 2016/07/28 | 50.00                     |
| 63064 | BNP Paribas Arbit Issu B.V. – CSOP A50 ETF R Bull CBBC Dec16D  | 100,000,000          | 2016/03/09   | 2016/12/30 | 25.00                     |
| 63130 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Dec 2016 O     | 100,000,000          | 2016/03/09   | 2016/12/29 | 25.00                     |
| 63120 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 W       | 250,000,000          | 2016/03/09   | 2016/11/29 | 62.50                     |
| 63167 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 X       | 250,000,000          | 2016/03/09   | 2016/11/29 | 62.50                     |
| 63121 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 C       | 250,000,000          | 2016/03/09   | 2016/12/29 | 62.50                     |
| 63128 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 D       | 250,000,000          | 2016/03/09   | 2016/12/29 | 62.50                     |
| 63176 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2016 I       | 250,000,000          | 2016/03/09   | 2016/12/29 | 62.50                     |
| 63129 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 L       | 200,000,000          | 2016/03/09   | 2016/06/29 | 50.00                     |
| 63060 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 D       | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.00                     |
| 63061 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 E       | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.00                     |
| 63063 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 F       | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.00                     |
| 63065 | BNP Paribas Arbit Issu B.V. – Ping An R Bull CBBC Dec 2016 G   | 50,000,000           | 2016/03/09   | 2016/12/30 | 12.50                     |
| 63160 | Credit Suisse AG – HKEX R Bear CBBC Jul 2016 B                 | 90,000,000           | 2016/03/09   | 2016/07/29 | 22.50                     |
| 63161 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 O                  | 200,000,000          | 2016/03/09   | 2016/12/29 | 50.00                     |
| 63162 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 P                  | 200,000,000          | 2016/03/09   | 2016/12/29 | 50.00                     |
| 63166 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 Q                  | 200,000,000          | 2016/03/09   | 2016/12/29 | 50.00                     |
| 63165 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 S                  | 200,000,000          | 2016/03/09   | 2016/12/29 | 50.00                     |
| 63158 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 B                  | 200,000,000          | 2016/03/09   | 2016/06/29 | 50.00                     |
| 63152 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 Q                  | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.00                     |
| 63159 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 R                  | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.00                     |
| 63102 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 C           | 200,000,000          | 2016/03/09   | 2017/05/29 | 51.60                     |
| 63106 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 D           | 200,000,000          | 2016/03/09   | 2017/05/29 | 52.40                     |
| 63109 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 E           | 200,000,000          | 2016/03/09   | 2017/05/29 | 54.80                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 63189 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 F           | 200,000,000          | 2016/03/09   | 2017/05/29 | 52.00                     |
| 63177 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 E           | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.80                     |
| 63185 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 F           | 200,000,000          | 2016/03/09   | 2016/07/28 | 51.40                     |
| 63187 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 G           | 200,000,000          | 2016/03/09   | 2016/07/28 | 51.20                     |
| 63085 | HK Bank – HSCEI R Bull CBBC Nov 2016 O                         | 60,000,000           | 2016/03/09   | 2016/11/29 | 15.00                     |
| 63091 | HK Bank – HSI R Bull CBBC Nov 2016 U                           | 150,000,000          | 2016/03/09   | 2016/11/29 | 37.50                     |
| 63089 | HK Bank – HSI R Bull CBBC Dec 2016 T                           | 150,000,000          | 2016/03/09   | 2016/12/29 | 37.50                     |
| 63097 | HK Bank – HSI R Bull CBBC Feb 2017 D                           | 400,000,000          | 2016/03/09   | 2017/02/27 | 100.00                    |
| 63202 | J P Morgan SP BV – COVS R Bull CBBC May 2017 A                 | 20,000,000           | 2016/03/09   | 2017/05/19 | 10.00                     |
| 63208 | J P Morgan SP BV – HKEX R Bull CBBC Apr 2017 A                 | 40,000,000           | 2016/03/09   | 2017/04/21 | 10.00                     |
| 63196 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 U                  | 200,000,000          | 2016/03/09   | 2017/02/27 | 50.00                     |
| 63198 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 W                  | 200,000,000          | 2016/03/09   | 2017/03/30 | 50.00                     |
| 63199 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 Q                  | 200,000,000          | 2016/03/09   | 2017/04/27 | 50.00                     |
| 63190 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 T                  | 200,000,000          | 2016/03/09   | 2016/06/29 | 50.00                     |
| 63193 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 U                  | 200,000,000          | 2016/03/09   | 2016/06/29 | 50.00                     |
| 63195 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 X                  | 200,000,000          | 2016/03/09   | 2016/06/29 | 50.00                     |
| 63212 | J P Morgan SP BV – Ping An R Bull CBBC May 2017 C              | 100,000,000          | 2016/03/09   | 2017/05/19 | 25.00                     |
| 63211 | J P Morgan SP BV – Tencent R Bull CBBC Apr 2017 B              | 60,000,000           | 2016/03/09   | 2017/04/21 | 15.00                     |
| 63131 | Macquarie Bank Ltd. – HSI R Bull CBBC Sep 2016 E               | 40,000,000           | 2016/03/09   | 2016/09/29 | 10.00                     |
| 63134 | Macquarie Bank Ltd. – HSI R Bull CBBC Sep 2016 F               | 40,000,000           | 2016/03/09   | 2016/09/29 | 10.20                     |
| 63137 | Macquarie Bank Ltd. – HSI R Bull CBBC Dec 2016 A               | 40,000,000           | 2016/03/09   | 2016/12/29 | 10.00                     |
| 63138 | Macquarie Bank Ltd. – HSI R Bull CBBC Dec 2016 B               | 40,000,000           | 2016/03/09   | 2016/12/29 | 10.20                     |
| 63150 | Macquarie Bank Ltd. – HSI R Bear CBBC Aug 2016 I               | 40,000,000           | 2016/03/09   | 2016/08/30 | 10.00                     |
| 63139 | Macquarie Bank Ltd. – HSI R Bear CBBC Oct 2016 C               | 40,000,000           | 2016/03/09   | 2016/10/28 | 10.00                     |
| 63111 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 B | 200,000,000          | 2016/03/09   | 2016/10/28 | 50.00                     |
| 63115 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 P | 200,000,000          | 2016/03/09   | 2016/10/28 | 50.00                     |
| 63114 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 V | 200,000,000          | 2016/03/09   | 2016/11/29 | 50.00                     |
| 63110 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 Y | 400,000,000          | 2016/03/09   | 2016/12/29 | 100.00                    |
| 63113 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 Z | 200,000,000          | 2016/03/09   | 2016/12/29 | 50.00                     |
| 63067 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 J | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.00                     |
| 63076 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 K | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.00                     |
| 63078 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 N | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.00                     |
| 63119 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 O | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.00                     |
| 63080 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 Q | 200,000,000          | 2016/03/09   | 2016/08/30 | 50.00                     |
| 63081 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 R | 200,000,000          | 2016/03/09   | 2016/08/30 | 50.00                     |
| 63084 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 S | 200,000,000          | 2016/03/09   | 2016/08/30 | 50.00                     |
| 63244 | UBS AG – HSCEI R Bull CBBC Apr 2017 A                          | 200,000,000          | 2016/03/09   | 2017/04/27 | 50.00                     |
| 63247 | UBS AG – HSI R Bull CBBC Mar 2017 M                            | 200,000,000          | 2016/03/09   | 2017/03/30 | 50.00                     |
| 63249 | UBS AG – HSI R Bull CBBC Jun 2017 Q                            | 200,000,000          | 2016/03/09   | 2017/06/29 | 50.00                     |
| 63245 | UBS AG – HSI R Bull CBBC Sep 2017 A                            | 200,000,000          | 2016/03/09   | 2017/09/28 | 50.00                     |
| 63252 | UBS AG – HSI R Bull CBBC Sep 2017 B                            | 200,000,000          | 2016/03/09   | 2017/09/28 | 50.00                     |
| 63215 | UBS AG – HSI R Bear CBBC Jun 2016 A                            | 200,000,000          | 2016/03/09   | 2016/06/29 | 50.00                     |
| 63219 | UBS AG – HSI R Bear CBBC Jun 2016 B                            | 200,000,000          | 2016/03/09   | 2016/06/29 | 50.00                     |
| 63238 | UBS AG – HSI R Bear CBBC Jun 2016 C                            | 200,000,000          | 2016/03/09   | 2016/06/29 | 50.00                     |
| 63239 | UBS AG – HSI R Bear CBBC Jun 2016 D                            | 200,000,000          | 2016/03/09   | 2016/06/29 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 63243 | UBS AG – HSI R Bear CBBC Jun 2016 E                            | 200,000,000          | 2016/03/09   | 2016/06/29 | 50.00                     |
| 63213 | UBS AG – HSI R Bear CBBC Jun 2016 Z                            | 200,000,000          | 2016/03/09   | 2016/06/29 | 50.00                     |
| 63218 | UBS AG – HSI R Bear CBBC Jul 2016 E                            | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.00                     |
| 63242 | UBS AG – HSI R Bear CBBC Jul 2016 F                            | 200,000,000          | 2016/03/09   | 2016/07/28 | 50.00                     |
| 63280 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 M       | 250,000,000          | 2016/03/10   | 2016/11/29 | 62.50                     |
| 63352 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 A                  | 200,000,000          | 2016/03/10   | 2016/11/29 | 50.00                     |
| 63351 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 Z                  | 200,000,000          | 2016/03/10   | 2016/11/29 | 50.00                     |
| 63361 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 A                  | 200,000,000          | 2016/03/10   | 2016/06/29 | 50.00                     |
| 63367 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 G           | 200,000,000          | 2016/03/10   | 2017/05/29 | 50.40                     |
| 63368 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 H           | 200,000,000          | 2016/03/10   | 2017/05/29 | 51.20                     |
| 63279 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 H           | 200,000,000          | 2016/03/10   | 2016/07/28 | 51.20                     |
| 63278 | HK Bank – Sinopec Corp R Bull CBBC Nov 2016 G                  | 50,000,000           | 2016/03/10   | 2016/11/28 | 12.50                     |
| 63269 | HK Bank – CSOP A50 ETF R Bull CBBC Jan 2017 C                  | 50,000,000           | 2016/03/10   | 2017/01/16 | 12.50                     |
| 63270 | HK Bank – A50 R Bull CBBC Feb 2017 F                           | 50,000,000           | 2016/03/10   | 2017/02/27 | 12.50                     |
| 63272 | HK Bank – HKEX R Bull CBBC Dec 2016 F                          | 50,000,000           | 2016/03/10   | 2016/12/19 | 12.50                     |
| 63266 | HK Bank – HSCEI R Bear CBBC Nov 2016 E                         | 50,000,000           | 2016/03/10   | 2016/11/29 | 12.50                     |
| 63267 | HK Bank – HSCEI R Bear CBBC Dec 2016 C                         | 50,000,000           | 2016/03/10   | 2016/12/29 | 12.50                     |
| 63268 | HK Bank – HSCEI R Bear CBBC Feb 2017 A                         | 50,000,000           | 2016/03/10   | 2017/02/27 | 12.50                     |
| 63253 | HK Bank – HSI R Bear CBBC Dec 2016 G                           | 150,000,000          | 2016/03/10   | 2016/12/29 | 37.50                     |
| 63257 | HK Bank – HSI R Bear CBBC Dec 2016 H                           | 150,000,000          | 2016/03/10   | 2016/12/29 | 37.50                     |
| 63258 | HK Bank – HSI R Bear CBBC Dec 2016 I                           | 150,000,000          | 2016/03/10   | 2016/12/29 | 37.50                     |
| 63254 | HK Bank – HSI R Bear CBBC Feb 2017 A                           | 150,000,000          | 2016/03/10   | 2017/02/27 | 37.50                     |
| 63255 | HK Bank – HSI R Bear CBBC Feb 2017 B                           | 400,000,000          | 2016/03/10   | 2017/02/27 | 100.00                    |
| 63273 | HK Bank – PetCh R Bull CBBC Dec 2016 I                         | 50,000,000           | 2016/03/10   | 2016/12/12 | 12.50                     |
| 63276 | HK Bank – TCH R Bull CBBC Nov 2016 H                           | 50,000,000           | 2016/03/10   | 2016/11/28 | 12.50                     |
| 63275 | HK Bank – TCH R Bull CBBC Dec 2016 F                           | 50,000,000           | 2016/03/10   | 2016/12/05 | 12.50                     |
| 63277 | HK Bank – TCH R Bull CBBC Dec 2016 G                           | 50,000,000           | 2016/03/10   | 2016/12/19 | 12.50                     |
| 63356 | J P Morgan SP BV – HSCEI R Bull CBBC Jun 2017 C                | 100,000,000          | 2016/03/10   | 2017/06/29 | 25.00                     |
| 63353 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 C                  | 200,000,000          | 2016/03/10   | 2016/12/29 | 50.00                     |
| 63355 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 R                  | 200,000,000          | 2016/03/10   | 2016/12/29 | 50.00                     |
| 63366 | J P Morgan SP BV – Sands China R Bull CBBC Jan 2017 A          | 140,000,000          | 2016/03/10   | 2017/01/09 | 35.00                     |
| 63286 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 T | 200,000,000          | 2016/03/10   | 2016/10/28 | 50.00                     |
| 63284 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 W | 200,000,000          | 2016/03/10   | 2016/11/29 | 50.00                     |
| 63288 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 Y | 200,000,000          | 2016/03/10   | 2016/11/29 | 50.00                     |
| 63281 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 D | 200,000,000          | 2016/03/10   | 2016/12/29 | 50.00                     |
| 63307 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 T | 200,000,000          | 2016/03/10   | 2016/08/30 | 50.00                     |
| 63337 | UBS AG – CSOP A50 ETF R Bull CBBC Jan 2017 A                   | 50,000,000           | 2016/03/10   | 2017/01/09 | 12.50                     |
| 63331 | UBS AG – HSI R Bull CBBC Feb 2017 C                            | 200,000,000          | 2016/03/10   | 2017/02/27 | 50.00                     |
| 63322 | UBS AG – HSI R Bull CBBC Apr 2017 N                            | 200,000,000          | 2016/03/10   | 2017/04/27 | 50.00                     |
| 63327 | UBS AG – HSI R Bull CBBC Jun 2017 R                            | 200,000,000          | 2016/03/10   | 2017/06/29 | 50.00                     |
| 63334 | UBS AG – HSI R Bull CBBC Jul 2017 D                            | 200,000,000          | 2016/03/10   | 2017/07/28 | 50.00                     |
| 63349 | UBS AG – HSI R Bear CBBC Jun 2016 J                            | 200,000,000          | 2016/03/10   | 2016/06/29 | 50.00                     |
| 63342 | UBS AG – HSI R Bear CBBC Jul 2016 G                            | 200,000,000          | 2016/03/10   | 2016/07/28 | 50.00                     |
| 63339 | UBS AG – TCH R Bull CBBC Jun 2017 A                            | 50,000,000           | 2016/03/10   | 2017/06/26 | 12.50                     |
| 63424 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Nov 2016 Q     | 100,000,000          | 2016/03/11   | 2016/11/29 | 25.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 63455 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2016 U       | 250,000,000          | 2016/03/11   | 2016/11/29 | 62.50                     |
| 63422 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jun 2016 M       | 200,000,000          | 2016/03/11   | 2016/06/29 | 50.00                     |
| 63379 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 G       | 200,000,000          | 2016/03/11   | 2016/07/28 | 50.00                     |
| 63425 | BNP Paribas Arbit Issu B.V. – TCH R Bull CBBC Dec 2016 A       | 50,000,000           | 2016/03/11   | 2016/12/30 | 12.50                     |
| 63444 | Credit Suisse AG – HSCEI R Bull CBBC Nov 2016 D                | 100,000,000          | 2016/03/11   | 2016/11/29 | 25.00                     |
| 63459 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 C                  | 200,000,000          | 2016/03/11   | 2016/10/28 | 50.00                     |
| 63461 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 N                  | 200,000,000          | 2016/03/11   | 2016/10/28 | 50.00                     |
| 63458 | Credit Suisse AG – HSI R Bull CBBC Oct 2016 S                  | 200,000,000          | 2016/03/11   | 2016/10/28 | 50.00                     |
| 63443 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 S                  | 200,000,000          | 2016/03/11   | 2016/07/28 | 50.00                     |
| 63445 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 T                  | 200,000,000          | 2016/03/11   | 2016/07/28 | 50.00                     |
| 63463 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 I           | 200,000,000          | 2016/03/11   | 2017/05/29 | 51.20                     |
| 63421 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 I           | 200,000,000          | 2016/03/11   | 2016/07/28 | 50.40                     |
| 63464 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 J           | 200,000,000          | 2016/03/11   | 2016/07/28 | 51.00                     |
| 63402 | HK Bank – CAM CSI300 R Bull CBBC Dec 2016 E                    | 50,000,000           | 2016/03/11   | 2016/12/19 | 15.50                     |
| 63388 | HK Bank – CKH R Bull CBBC Jul 2017 A                           | 40,000,000           | 2016/03/11   | 2017/07/10 | 10.00                     |
| 63382 | HK Bank – CM Bank R Bull CBBC Dec 2016 F                       | 40,000,000           | 2016/03/11   | 2016/12/12 | 10.00                     |
| 63385 | HK Bank – CNOOC R Bull CBBC Dec 2016 H                         | 50,000,000           | 2016/03/11   | 2016/12/12 | 12.50                     |
| 63398 | HK Bank – HSI R Bull CBBC Oct 2016 Y                           | 150,000,000          | 2016/03/11   | 2016/10/28 | 37.50                     |
| 63393 | HK Bank – HSI R Bull CBBC Feb 2017 E                           | 150,000,000          | 2016/03/11   | 2017/02/27 | 37.50                     |
| 63399 | HK Bank – HSI R Bear CBBC Nov 2016 H                           | 150,000,000          | 2016/03/11   | 2016/11/29 | 37.50                     |
| 63397 | HK Bank – Ping An R Bull CBBC Dec 2016 I                       | 50,000,000           | 2016/03/11   | 2016/12/19 | 12.50                     |
| 63467 | J P Morgan SP BV – COVS R Bull CBBC Dec 2016 B                 | 20,000,000           | 2016/03/11   | 2016/12/16 | 10.00                     |
| 63469 | J P Morgan SP BV – China Life R Bull CBBC Aug 2016 A           | 40,000,000           | 2016/03/11   | 2016/08/19 | 10.00                     |
| 63472 | J P Morgan SP BV – CSOP A50 ETF R Bull CBBC Nov 2016 A         | 60,000,000           | 2016/03/11   | 2016/11/18 | 15.00                     |
| 63473 | J P Morgan SP BV – HKEX R Bear CBBC Jul 2016 D                 | 30,000,000           | 2016/03/11   | 2016/07/15 | 10.20                     |
| 63475 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 P                  | 200,000,000          | 2016/03/11   | 2016/12/29 | 50.00                     |
| 63478 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 V                  | 200,000,000          | 2016/03/11   | 2017/02/27 | 50.00                     |
| 63465 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 Y                  | 200,000,000          | 2016/03/11   | 2016/06/29 | 50.00                     |
| 63474 | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 K                  | 150,000,000          | 2016/03/11   | 2016/08/30 | 37.50                     |
| 63468 | J P Morgan SP BV – Tencent R Bull CBBC Sep 2016 B              | 60,000,000           | 2016/03/11   | 2016/09/15 | 15.00                     |
| 63441 | Macquarie Bank Ltd. – HSI R Bull CBBC Dec 2016 C               | 40,000,000           | 2016/03/11   | 2016/12/29 | 10.00                     |
| 63404 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 F | 200,000,000          | 2016/03/11   | 2016/12/29 | 50.00                     |
| 63407 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 U | 200,000,000          | 2016/03/11   | 2016/12/29 | 50.00                     |
| 63412 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 R | 200,000,000          | 2016/03/11   | 2016/06/29 | 50.00                     |
| 63451 | UBS AG – HSI R Bull CBBC Nov 2016 A                            | 200,000,000          | 2016/03/11   | 2016/11/29 | 50.00                     |
| 63453 | UBS AG – HSI R Bull CBBC Mar 2017 N                            | 200,000,000          | 2016/03/11   | 2017/03/30 | 50.00                     |
| 63446 | UBS AG – HSI R Bull CBBC Jun 2017 S                            | 200,000,000          | 2016/03/11   | 2017/06/29 | 50.00                     |
| 63450 | UBS AG – HSI R Bull CBBC Jul 2017 E                            | 200,000,000          | 2016/03/11   | 2017/07/28 | 50.00                     |
| 63428 | UBS AG – HSI R Bear CBBC Jul 2016 H                            | 200,000,000          | 2016/03/11   | 2016/07/28 | 50.00                     |
| 63439 | UBS AG – HSI R Bear CBBC Jul 2016 I                            | 200,000,000          | 2016/03/11   | 2016/07/28 | 50.00                     |
| 63489 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Dec 2016 P     | 100,000,000          | 2016/03/14   | 2016/12/29 | 25.00                     |
| 63488 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 H       | 200,000,000          | 2016/03/14   | 2016/07/28 | 50.00                     |
| 63515 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 J                  | 200,000,000          | 2016/03/14   | 2016/11/29 | 50.00                     |
| 63511 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 T                  | 200,000,000          | 2016/03/14   | 2016/12/29 | 50.00                     |
| 63513 | Credit Suisse AG – HSI R Bull CBBC Dec 2016 U                  | 200,000,000          | 2016/03/14   | 2016/12/29 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 63524 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 D                  | 200,000,000          | 2016/03/14   | 2016/06/29 | 50.00                     |
| 63525 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 U                  | 200,000,000          | 2016/03/14   | 2016/07/28 | 50.00                     |
| 63528 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 J           | 200,000,000          | 2016/03/14   | 2017/05/29 | 51.20                     |
| 63531 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 K           | 200,000,000          | 2016/03/14   | 2017/05/29 | 51.60                     |
| 63536 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 L           | 200,000,000          | 2016/03/14   | 2017/05/29 | 52.60                     |
| 63539 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 M           | 200,000,000          | 2016/03/14   | 2017/05/29 | 50.80                     |
| 63526 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 K           | 200,000,000          | 2016/03/14   | 2016/07/28 | 50.80                     |
| 63482 | HK Bank – CSOP A50 ETF R Bull CBBC Feb 2017 E                  | 50,000,000           | 2016/03/14   | 2017/02/27 | 12.50                     |
| 63483 | HK Bank – A50 R Bull CBBC Feb 2017 G                           | 50,000,000           | 2016/03/14   | 2017/02/27 | 12.50                     |
| 63486 | HK Bank – Great Wall Motor R Bull CBBC Dec 2016 C              | 40,000,000           | 2016/03/14   | 2016/12/12 | 10.00                     |
| 63480 | HK Bank – HSCEI R Bull CBBC Dec 2016 K                         | 60,000,000           | 2016/03/14   | 2016/12/29 | 15.00                     |
| 63481 | HK Bank – HSI R Bull CBBC Dec 2016 U                           | 150,000,000          | 2016/03/14   | 2016/12/29 | 37.50                     |
| 63484 | HK Bank – Haitong Sec R Bull CBBC Dec 2016 A                   | 40,000,000           | 2016/03/14   | 2016/12/19 | 10.00                     |
| 63517 | J P Morgan SP BV – CC Bank R Bull CBBC Dec 2016 A              | 100,000,000          | 2016/03/14   | 2016/12/16 | 25.00                     |
| 63518 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 S                  | 200,000,000          | 2016/03/14   | 2016/12/29 | 50.00                     |
| 63519 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 X                  | 150,000,000          | 2016/03/14   | 2017/03/30 | 37.50                     |
| 63516 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 Z                  | 200,000,000          | 2016/03/14   | 2016/06/29 | 50.00                     |
| 63496 | Macquarie Bank Ltd. – HSI R Bear CBBC Sep 2016 C               | 40,000,000           | 2016/03/14   | 2016/09/29 | 10.00                     |
| 63497 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 A | 200,000,000          | 2016/03/14   | 2016/10/28 | 50.00                     |
| 63498 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 R | 200,000,000          | 2016/03/14   | 2016/10/28 | 50.00                     |
| 63500 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 R | 200,000,000          | 2016/03/14   | 2016/07/28 | 50.00                     |
| 63501 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 S | 200,000,000          | 2016/03/14   | 2016/07/28 | 50.00                     |
| 63510 | UBS AG – HSCEI R Bull CBBC Jul 2017 A                          | 200,000,000          | 2016/03/14   | 2017/07/28 | 50.00                     |
| 63509 | UBS AG – HSI R Bull CBBC Nov 2016 O                            | 200,000,000          | 2016/03/14   | 2016/11/29 | 50.00                     |
| 63506 | UBS AG – HSI R Bull CBBC Feb 2017 E                            | 200,000,000          | 2016/03/14   | 2017/02/27 | 50.00                     |
| 63505 | UBS AG – HSI R Bull CBBC Jul 2017 F                            | 200,000,000          | 2016/03/14   | 2017/07/28 | 50.00                     |
| 63502 | UBS AG – HSI R Bear CBBC Jun 2016 I                            | 200,000,000          | 2016/03/14   | 2016/06/29 | 50.00                     |
| 63504 | UBS AG – HSI R Bear CBBC Jul 2016 J                            | 200,000,000          | 2016/03/14   | 2016/07/28 | 50.00                     |
| 63552 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 K                  | 200,000,000          | 2016/03/15   | 2016/11/29 | 50.00                     |
| 63550 | Credit Suisse AG – HSI R Bull CBBC Nov 2016 L                  | 200,000,000          | 2016/03/15   | 2016/11/29 | 50.00                     |
| 63553 | Credit Suisse AG – HSI R Bear CBBC Jul 2016 V                  | 200,000,000          | 2016/03/15   | 2016/07/28 | 50.00                     |
| 63540 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 N           | 200,000,000          | 2016/03/15   | 2017/05/29 | 51.20                     |
| 63579 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 L           | 200,000,000          | 2016/03/15   | 2016/07/28 | 51.00                     |
| 63555 | J P Morgan SP BV – A50 China R Bull CBBC Jan 2017 D            | 100,000,000          | 2016/03/15   | 2017/01/20 | 25.00                     |
| 63541 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 D                  | 150,000,000          | 2016/03/15   | 2017/01/26 | 37.50                     |
| 63560 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 I                  | 150,000,000          | 2016/03/15   | 2017/01/26 | 37.50                     |
| 63559 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 F                  | 200,000,000          | 2016/03/15   | 2016/07/28 | 50.00                     |
| 63554 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 M                  | 150,000,000          | 2016/03/15   | 2016/07/28 | 37.50                     |
| 63542 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 V | 200,000,000          | 2016/03/15   | 2016/12/29 | 50.00                     |
| 63543 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 T | 200,000,000          | 2016/03/15   | 2016/07/28 | 50.00                     |
| 63546 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Sep16 B | 200,000,000          | 2016/03/15   | 2016/09/29 | 50.00                     |
| 63548 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Sep16 C | 200,000,000          | 2016/03/15   | 2016/09/29 | 50.00                     |
| 63549 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Sep16 D | 200,000,000          | 2016/03/15   | 2016/09/29 | 50.00                     |
| 63563 | UBS AG – HSI R Bull CBBC May 2017 C                            | 200,000,000          | 2016/03/15   | 2017/05/29 | 50.00                     |
| 63574 | UBS AG – HSI R Bear CBBC Jun 2016 K                            | 200,000,000          | 2016/03/15   | 2016/06/29 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 63577 | UBS AG – HSI R Bear CBBC Jun 2016 L                            | 200,000,000          | 2016/03/15   | 2016/06/29 | 50.00                     |
| 63649 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC May 2017 A       | 250,000,000          | 2016/03/16   | 2017/05/29 | 62.50                     |
| 63606 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 I       | 200,000,000          | 2016/03/16   | 2016/07/28 | 50.00                     |
| 63652 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Aug 2016 A       | 200,000,000          | 2016/03/16   | 2016/08/30 | 50.00                     |
| 63639 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 S                  | 200,000,000          | 2016/03/16   | 2016/06/29 | 50.00                     |
| 63661 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 O           | 200,000,000          | 2016/03/16   | 2017/05/29 | 51.40                     |
| 63605 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 M           | 200,000,000          | 2016/03/16   | 2016/07/28 | 50.60                     |
| 63582 | HK Bank – CNOOC R Bull CBBC Jan 2017 C                         | 50,000,000           | 2016/03/16   | 2017/01/09 | 12.50                     |
| 63593 | HK Bank – Great Wall Motor R Bull CBBC Jan 2017 B              | 40,000,000           | 2016/03/16   | 2017/01/09 | 10.00                     |
| 63580 | HK Bank – HSI R Bear CBBC Dec 2016 J                           | 150,000,000          | 2016/03/16   | 2016/12/29 | 37.50                     |
| 63587 | HK Bank – ICBC R Bull CBBC Aug 2017 B                          | 50,000,000           | 2016/03/16   | 2017/08/07 | 12.50                     |
| 63657 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 W                  | 200,000,000          | 2016/03/16   | 2017/02/27 | 50.00                     |
| 63665 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 X                  | 150,000,000          | 2016/03/16   | 2017/02/27 | 37.50                     |
| 63658 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 E                  | 200,000,000          | 2016/03/16   | 2016/06/29 | 50.00                     |
| 63594 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 T | 200,000,000          | 2016/03/16   | 2016/11/29 | 50.00                     |
| 63603 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 X | 200,000,000          | 2016/03/16   | 2016/11/29 | 50.00                     |
| 63611 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 W | 200,000,000          | 2016/03/16   | 2016/07/28 | 50.00                     |
| 63614 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 U | 200,000,000          | 2016/03/16   | 2016/08/30 | 50.00                     |
| 63619 | UBS AG – HSI R Bull CBBC Mar 2017 O                            | 200,000,000          | 2016/03/16   | 2017/03/30 | 50.00                     |
| 63615 | UBS AG – HSI R Bull CBBC Sep 2017 C                            | 200,000,000          | 2016/03/16   | 2017/09/28 | 50.00                     |
| 63620 | UBS AG – HSI R Bear CBBC Jun 2016 M                            | 200,000,000          | 2016/03/16   | 2016/06/29 | 50.00                     |
| 63638 | UBS AG – HSI R Bear CBBC Jul 2016 K                            | 200,000,000          | 2016/03/16   | 2016/07/28 | 50.00                     |
| 63690 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jun 2017 A       | 250,000,000          | 2016/03/17   | 2017/06/29 | 62.50                     |
| 63695 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 A                  | 200,000,000          | 2016/03/17   | 2017/06/29 | 50.00                     |
| 63698 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 T                  | 200,000,000          | 2016/03/17   | 2016/06/29 | 50.00                     |
| 63704 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 N                  | 150,000,000          | 2016/03/17   | 2017/01/26 | 37.50                     |
| 63706 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 Y                  | 150,000,000          | 2016/03/17   | 2017/03/30 | 37.50                     |
| 63700 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 I                  | 200,000,000          | 2016/03/17   | 2016/06/29 | 50.00                     |
| 63678 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 W | 200,000,000          | 2016/03/17   | 2016/12/29 | 50.00                     |
| 63686 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Aug16 V | 200,000,000          | 2016/03/17   | 2016/08/30 | 50.00                     |
| 63694 | UBS AG – HSI R Bull CBBC Apr 2017 O                            | 200,000,000          | 2016/03/17   | 2017/04/27 | 50.00                     |
| 63691 | UBS AG – HSI R Bear CBBC Jun 2016 N                            | 200,000,000          | 2016/03/17   | 2016/06/29 | 50.00                     |
| 63692 | UBS AG – HSI R Bear CBBC Jul 2016 L                            | 200,000,000          | 2016/03/17   | 2016/07/28 | 50.00                     |
| 63712 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC May 2017 B       | 250,000,000          | 2016/03/18   | 2017/05/29 | 62.50                     |
| 63711 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 J       | 200,000,000          | 2016/03/18   | 2016/07/28 | 50.00                     |
| 63718 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Aug 2016 B       | 200,000,000          | 2016/03/18   | 2016/08/30 | 50.00                     |
| 63742 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 B                  | 200,000,000          | 2016/03/18   | 2017/06/29 | 50.00                     |
| 63720 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 Q                  | 200,000,000          | 2016/03/18   | 2016/06/29 | 50.00                     |
| 63749 | J P Morgan SP BV – CNOOC R Bear CBBC Jan 2017 A                | 50,000,000           | 2016/03/18   | 2017/01/20 | 12.50                     |
| 63751 | J P Morgan SP BV – HSBC R Bull CBBC Apr 2017 B                 | 100,000,000          | 2016/03/18   | 2017/04/21 | 25.00                     |
| 63755 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 S                  | 200,000,000          | 2016/03/18   | 2017/01/26 | 50.00                     |
| 63756 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 Z                  | 200,000,000          | 2016/03/18   | 2017/03/30 | 50.00                     |
| 63754 | J P Morgan SP BV – HSI R Bull CBBC Apr 2017 R                  | 150,000,000          | 2016/03/18   | 2017/04/27 | 37.50                     |
| 63747 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 J                  | 200,000,000          | 2016/03/18   | 2016/06/29 | 50.00                     |
| 63737 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 B | 200,000,000          | 2016/03/18   | 2016/11/29 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 63735 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 Z | 200,000,000          | 2016/03/18   | 2016/11/29 | 50.00                     |
| 63731 | UBS AG – HSI R Bull CBBC Jun 2017 T                            | 200,000,000          | 2016/03/18   | 2017/06/29 | 50.00                     |
| 63733 | UBS AG – HSI R Bull CBBC Jul 2017 G                            | 200,000,000          | 2016/03/18   | 2017/07/28 | 50.00                     |
| 63725 | UBS AG – HSI R Bear CBBC Jun 2016 G                            | 200,000,000          | 2016/03/18   | 2016/06/29 | 50.00                     |
| 63789 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC May 2017 C       | 250,000,000          | 2016/03/21   | 2017/05/29 | 62.50                     |
| 63786 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jun 2017 B       | 250,000,000          | 2016/03/21   | 2017/06/29 | 62.50                     |
| 63790 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jun 2017 C       | 250,000,000          | 2016/03/21   | 2017/06/29 | 62.50                     |
| 63757 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 K       | 200,000,000          | 2016/03/21   | 2016/07/28 | 50.00                     |
| 63758 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 L       | 200,000,000          | 2016/03/21   | 2016/07/28 | 50.00                     |
| 63833 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 C                  | 200,000,000          | 2016/03/21   | 2017/06/29 | 50.00                     |
| 63845 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 D                  | 200,000,000          | 2016/03/21   | 2017/06/29 | 50.00                     |
| 63778 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 R                  | 200,000,000          | 2016/03/21   | 2016/06/29 | 50.00                     |
| 63777 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 U                  | 200,000,000          | 2016/03/21   | 2016/06/29 | 50.00                     |
| 63784 | Goldman Sachs SP (Asia) – HSI R Bull CBBC May 2017 P           | 200,000,000          | 2016/03/21   | 2017/05/29 | 51.60                     |
| 63780 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 N           | 200,000,000          | 2016/03/21   | 2016/07/28 | 50.20                     |
| 63854 | J P Morgan SP BV – BOCL R Bull CBBC Jan 2017 A                 | 100,000,000          | 2016/03/21   | 2017/01/20 | 25.00                     |
| 63853 | J P Morgan SP BV – COVS R Bull CBBC Nov 2016 A                 | 25,000,000           | 2016/03/21   | 2016/11/18 | 10.00                     |
| 63850 | J P Morgan SP BV – HSI R Bull CBBC Nov 2016 B                  | 200,000,000          | 2016/03/21   | 2016/11/29 | 50.00                     |
| 63851 | J P Morgan SP BV – HSI R Bull CBBC Dec 2016 E                  | 200,000,000          | 2016/03/21   | 2016/12/29 | 50.00                     |
| 63846 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 L                  | 200,000,000          | 2016/03/21   | 2016/06/29 | 50.00                     |
| 63849 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 M                  | 200,000,000          | 2016/03/21   | 2016/06/29 | 50.00                     |
| 63852 | J P Morgan SP BV – Tencent R Bull CBBC Dec 2016 B              | 60,000,000           | 2016/03/21   | 2016/12/16 | 15.00                     |
| 63793 | Macquarie Bank Ltd. – HSI R Bull CBBC Sep 2016 G               | 40,000,000           | 2016/03/21   | 2016/09/29 | 10.00                     |
| 63796 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 D | 200,000,000          | 2016/03/21   | 2016/11/29 | 50.00                     |
| 63801 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 E | 200,000,000          | 2016/03/21   | 2016/11/29 | 50.00                     |
| 63765 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 S | 200,000,000          | 2016/03/21   | 2016/06/29 | 50.00                     |
| 63771 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 U | 200,000,000          | 2016/03/21   | 2016/07/28 | 50.00                     |
| 63760 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 X | 200,000,000          | 2016/03/21   | 2016/07/28 | 50.00                     |
| 63772 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 Y | 200,000,000          | 2016/03/21   | 2016/07/28 | 50.00                     |
| 63805 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 Z | 200,000,000          | 2016/03/21   | 2016/07/28 | 50.00                     |
| 63823 | UBS AG – HSI R Bull CBBC May 2017 D                            | 200,000,000          | 2016/03/21   | 2017/05/29 | 50.00                     |
| 63822 | UBS AG – HSI R Bull CBBC Jun 2017 U                            | 200,000,000          | 2016/03/21   | 2017/06/29 | 50.00                     |
| 63808 | UBS AG – HSI R Bear CBBC Jun 2016 O                            | 200,000,000          | 2016/03/21   | 2016/06/29 | 50.00                     |
| 63809 | UBS AG – HSI R Bear CBBC Jun 2016 P                            | 200,000,000          | 2016/03/21   | 2016/06/29 | 50.00                     |
| 63811 | UBS AG – HSI R Bear CBBC Jun 2016 Q                            | 200,000,000          | 2016/03/21   | 2016/06/29 | 50.00                     |
| 63896 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Aug 2016 C       | 200,000,000          | 2016/03/22   | 2016/08/30 | 50.00                     |
| 63885 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 E                  | 200,000,000          | 2016/03/22   | 2017/06/29 | 50.00                     |
| 63887 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 F                  | 200,000,000          | 2016/03/22   | 2017/06/29 | 50.00                     |
| 63915 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 C                  | 200,000,000          | 2016/03/22   | 2016/06/29 | 50.00                     |
| 63914 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 V                  | 200,000,000          | 2016/03/22   | 2016/06/29 | 50.00                     |
| 63891 | Bank of East Asia – COVS R Bull CBBC Jul 2017 A                | 20,000,000           | 2016/03/22   | 2017/07/28 | 11.00                     |
| 63895 | Bank of East Asia – HSBC Holdings R Bull CBBC Apr 2017 A       | 40,000,000           | 2016/03/22   | 2017/04/07 | 10.00                     |
| 63892 | Bank of East Asia – TCH R Bull CBBC Mar 2017 A                 | 40,000,000           | 2016/03/22   | 2017/03/17 | 10.00                     |
| 63927 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2016 G           | 200,000,000          | 2016/03/22   | 2016/12/29 | 50.00                     |
| 63890 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 O           | 200,000,000          | 2016/03/22   | 2016/07/28 | 50.20                     |



# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 63856 | HK Bank – ABC R Bear CBBC Dec 2016 B                           | 40,000,000           | 2016/03/22   | 2016/12/12 | 10.00                     |
| 63882 | HK Bank – AIA R Bull CBBC Oct 2016 H                           | 40,000,000           | 2016/03/22   | 2016/10/31 | 16.80                     |
| 63855 | HK Bank – COVS R Bull CBBC Dec 2016 B                          | 40,000,000           | 2016/03/22   | 2016/12/30 | 18.00                     |
| 63881 | HK Bank – China Life R Bull CBBC Nov 2016 F                    | 50,000,000           | 2016/03/22   | 2016/11/07 | 12.50                     |
| 63877 | HK Bank – HSCEI R Bull CBBC Oct 2016 Q                         | 60,000,000           | 2016/03/22   | 2016/10/28 | 15.00                     |
| 63879 | HK Bank – HSCEI R Bull CBBC Dec 2016 L                         | 60,000,000           | 2016/03/22   | 2016/12/29 | 15.00                     |
| 63866 | HK Bank – HSI R Bull CBBC Oct 2016 Z                           | 150,000,000          | 2016/03/22   | 2016/10/28 | 37.50                     |
| 63867 | HK Bank – HSI R Bull CBBC Nov 2016 V                           | 150,000,000          | 2016/03/22   | 2016/11/29 | 37.50                     |
| 63858 | HK Bank – PICC P&C R Bull CBBC Feb 2017 A                      | 40,000,000           | 2016/03/22   | 2017/02/01 | 10.00                     |
| 63925 | J P Morgan SP BV – AIA R Bear CBBC Jan 2017 A                  | 100,000,000          | 2016/03/22   | 2017/01/20 | 25.00                     |
| 63923 | J P Morgan SP BV – CNOOC R Bear CBBC Dec 2016 A                | 60,000,000           | 2016/03/22   | 2016/12/16 | 15.00                     |
| 63926 | J P Morgan SP BV – Galaxy Ent R Bull CBBC Feb 2017 B           | 100,000,000          | 2016/03/22   | 2017/02/17 | 25.00                     |
| 63921 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 C                  | 150,000,000          | 2016/03/22   | 2017/03/30 | 37.50                     |
| 63917 | J P Morgan SP BV – HSI R Bull CBBC Jun 2017 H                  | 200,000,000          | 2016/03/22   | 2017/06/29 | 50.00                     |
| 63918 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 N                  | 200,000,000          | 2016/03/22   | 2016/06/29 | 50.00                     |
| 63897 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec16 X | 200,000,000          | 2016/03/22   | 2016/12/29 | 50.00                     |
| 63903 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 N | 200,000,000          | 2016/03/22   | 2016/06/29 | 50.00                     |
| 63904 | UBS AG – HSI R Bull CBBC Feb 2017 F                            | 200,000,000          | 2016/03/22   | 2017/02/27 | 50.00                     |
| 63907 | UBS AG – HSI R Bull CBBC Feb 2017 G                            | 200,000,000          | 2016/03/22   | 2017/02/27 | 50.00                     |
| 63908 | UBS AG – HSI R Bear CBBC Jun 2016 R                            | 200,000,000          | 2016/03/22   | 2016/06/29 | 50.00                     |
| 63912 | UBS AG – HSI R Bear CBBC Jun 2016 S                            | 200,000,000          | 2016/03/22   | 2016/06/29 | 50.00                     |
| 63950 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 G                  | 200,000,000          | 2016/03/23   | 2017/06/29 | 50.00                     |
| 63928 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 M                  | 200,000,000          | 2016/03/23   | 2016/06/29 | 50.00                     |
| 63951 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 N                  | 200,000,000          | 2016/03/23   | 2016/06/29 | 50.00                     |
| 63931 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jun 2016 A           | 200,000,000          | 2016/03/23   | 2016/06/29 | 50.60                     |
| 63955 | J P Morgan SP BV – CNOOC R Bull CBBC Feb 2017 B                | 60,000,000           | 2016/03/23   | 2017/02/17 | 15.00                     |
| 63960 | J P Morgan SP BV – HSI R Bull CBBC Jan 2017 C                  | 150,000,000          | 2016/03/23   | 2017/01/26 | 37.50                     |
| 63958 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 H                  | 200,000,000          | 2016/03/23   | 2016/06/29 | 50.00                     |
| 63934 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 W | 200,000,000          | 2016/03/23   | 2016/10/28 | 50.00                     |
| 63942 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 P | 200,000,000          | 2016/03/23   | 2016/06/29 | 50.00                     |
| 63944 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 E | 200,000,000          | 2016/03/23   | 2016/07/28 | 50.00                     |
| 63945 | UBS AG – HSI R Bull CBBC Jul 2017 H                            | 200,000,000          | 2016/03/23   | 2017/07/28 | 50.00                     |
| 63946 | UBS AG – HSI R Bear CBBC Jun 2016 F                            | 200,000,000          | 2016/03/23   | 2016/06/29 | 50.00                     |
| 63947 | UBS AG – HSI R Bear CBBC Jun 2016 H                            | 200,000,000          | 2016/03/23   | 2016/06/29 | 50.00                     |
| 64008 | BNP Paribas Arbit Issu B.V. – A50 Ch R Bull CBBC Dec 2016 E    | 100,000,000          | 2016/03/24   | 2016/12/30 | 25.00                     |
| 64000 | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC May 2017 A     | 100,000,000          | 2016/03/24   | 2017/05/29 | 25.00                     |
| 63994 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC May 2017 D       | 250,000,000          | 2016/03/24   | 2017/05/29 | 62.50                     |
| 63972 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Aug 2016 D       | 200,000,000          | 2016/03/24   | 2016/08/30 | 50.00                     |
| 63998 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Aug 2016 E       | 200,000,000          | 2016/03/24   | 2016/08/30 | 50.00                     |
| 63999 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Aug 2016 F       | 200,000,000          | 2016/03/24   | 2016/08/30 | 50.00                     |
| 64056 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 H                  | 200,000,000          | 2016/03/24   | 2017/06/29 | 50.00                     |
| 64060 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 I                  | 200,000,000          | 2016/03/24   | 2017/06/29 | 50.00                     |
| 64064 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 J                  | 200,000,000          | 2016/03/24   | 2017/06/29 | 50.00                     |
| 63990 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 P                  | 200,000,000          | 2016/03/24   | 2016/06/29 | 50.00                     |
| 63992 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 W                  | 200,000,000          | 2016/03/24   | 2016/06/29 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 64030 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 R           | 200,000,000          | 2016/03/24   | 2017/06/29 | 51.80                     |
| 63975 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jun 2016 B           | 200,000,000          | 2016/03/24   | 2016/06/29 | 50.20                     |
| 63966 | HK Bank – COVS R Bull CBBC Nov 2016 C                          | 40,000,000           | 2016/03/24   | 2016/11/28 | 10.00                     |
| 63967 | HK Bank – COVS R Bull CBBC Jul 2017 A                          | 40,000,000           | 2016/03/24   | 2017/07/17 | 22.00                     |
| 63962 | HK Bank – HSI R Bear CBBC Dec 2016 K                           | 150,000,000          | 2016/03/24   | 2016/12/29 | 37.50                     |
| 63971 | HK Bank – Sands China R Bull CBBC Dec 2016 F                   | 40,000,000           | 2016/03/24   | 2016/12/30 | 16.80                     |
| 63969 | HK Bank – SHK Ppt R Bull CBBC Apr 2017 A                       | 40,000,000           | 2016/03/24   | 2017/04/28 | 10.00                     |
| 63968 | HK Bank – TCH R Bull CBBC Dec 2016 H                           | 50,000,000           | 2016/03/24   | 2016/12/19 | 12.50                     |
| 64054 | J P Morgan SP BV – HSCEI R Bull CBBC Jul 2017 A                | 100,000,000          | 2016/03/24   | 2017/07/28 | 25.00                     |
| 64042 | J P Morgan SP BV – HSI R Bull CBBC Jun 2017 I                  | 150,000,000          | 2016/03/24   | 2017/06/29 | 37.50                     |
| 64050 | J P Morgan SP BV – HSI R Bull CBBC Jul 2017 F                  | 150,000,000          | 2016/03/24   | 2017/07/28 | 37.50                     |
| 64039 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 G                  | 150,000,000          | 2016/03/24   | 2016/06/29 | 37.50                     |
| 64047 | J P Morgan SP BV – HSI R Bear CBBC Jun 2016 K                  | 200,000,000          | 2016/03/24   | 2016/06/29 | 50.00                     |
| 64049 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 H                  | 150,000,000          | 2016/03/24   | 2016/07/28 | 37.50                     |
| 64076 | J P Morgan SP BV – Ping An R Bull CBBC Dec 2016 D              | 100,000,000          | 2016/03/24   | 2016/12/16 | 25.00                     |
| 64077 | J P Morgan SP BV – Ping An R Bear CBBC Jan 2017 A              | 100,000,000          | 2016/03/24   | 2017/01/20 | 25.00                     |
| 63980 | Macquarie Bank Ltd. – HSI R Bull CBBC Dec 2016 D               | 40,000,000           | 2016/03/24   | 2016/12/29 | 10.00                     |
| 63983 | Macquarie Bank Ltd. – HSI R Bear CBBC Sep 2016 D               | 40,000,000           | 2016/03/24   | 2016/09/29 | 10.00                     |
| 64018 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 Y | 200,000,000          | 2016/03/24   | 2016/10/28 | 50.00                     |
| 64019 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 Z | 200,000,000          | 2016/03/24   | 2016/10/28 | 50.00                     |
| 64020 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 I | 200,000,000          | 2016/03/24   | 2016/07/28 | 50.00                     |
| 64028 | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 P | 200,000,000          | 2016/03/24   | 2016/07/28 | 50.00                     |
| 64069 | UBS AG – HSI R Bull CBBC Jul 2017 I                            | 200,000,000          | 2016/03/24   | 2017/07/28 | 50.00                     |
| 64074 | UBS AG – HSI R Bull CBBC Sep 2017 D                            | 200,000,000          | 2016/03/24   | 2017/09/28 | 50.00                     |
| 64065 | UBS AG – HSI R Bear CBBC Jun 2016 T                            | 200,000,000          | 2016/03/24   | 2016/06/29 | 50.00                     |
| 64067 | UBS AG – HSI R Bear CBBC Jul 2016 M                            | 200,000,000          | 2016/03/24   | 2016/07/28 | 50.00                     |
| 64068 | UBS AG – HSI R Bear CBBC Jul 2016 N                            | 200,000,000          | 2016/03/24   | 2016/07/28 | 59.00                     |
| 64104 | BNP Paribas Arbit Issu B.V. – CSOP A50 ETF R Bull CBBC Dec16 E | 100,000,000          | 2016/03/29   | 2016/12/30 | 25.00                     |
| 64112 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jun 2017 D       | 250,000,000          | 2016/03/29   | 2017/06/29 | 62.50                     |
| 64096 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Aug 2016 G       | 200,000,000          | 2016/03/29   | 2016/08/30 | 50.00                     |
| 64097 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Aug 2016 H       | 200,000,000          | 2016/03/29   | 2016/08/30 | 50.00                     |
| 64103 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Aug 2016 I       | 200,000,000          | 2016/03/29   | 2016/08/30 | 50.00                     |
| 64120 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 K                  | 200,000,000          | 2016/03/29   | 2017/06/29 | 50.00                     |
| 64122 | Credit Suisse AG – HSI R Bull CBBC Jun 2017 L                  | 200,000,000          | 2016/03/29   | 2017/06/29 | 50.00                     |
| 64092 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 Z                  | 200,000,000          | 2016/03/29   | 2016/06/29 | 50.00                     |
| 64095 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 S           | 200,000,000          | 2016/03/29   | 2017/06/29 | 50.60                     |
| 64134 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jun 2017 T           | 200,000,000          | 2016/03/29   | 2017/06/29 | 50.20                     |
| 64137 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jun 2016 C           | 200,000,000          | 2016/03/29   | 2016/06/29 | 51.20                     |
| 64138 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jun 2016 D           | 200,000,000          | 2016/03/29   | 2016/06/29 | 50.60                     |
| 64087 | HK Bank – A50 R Bull CBBC Jan 2017 D                           | 50,000,000           | 2016/03/29   | 2017/01/16 | 12.50                     |
| 64080 | HK Bank – HSI R Bull CBBC Dec 2016 V                           | 400,000,000          | 2016/03/29   | 2016/12/29 | 100.00                    |
| 64086 | HK Bank – Ping An R Bull CBBC Dec 2016 J                       | 50,000,000           | 2016/03/29   | 2016/12/05 | 14.50                     |
| 64090 | HK Bank – TCH R Bull CBBC Dec 2016 I                           | 50,000,000           | 2016/03/29   | 2016/12/15 | 12.50                     |
| 64088 | HK Bank – TCH R Bull CBBC Feb 2017 A                           | 50,000,000           | 2016/03/29   | 2017/02/27 | 12.50                     |
| 64083 | HK Bank – TCH R Bear CBBC Dec 2016 A                           | 40,000,000           | 2016/03/29   | 2016/12/12 | 10.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code  | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|-------|--|----------------------|--------------|------------|---------------------------|
| 64081 | HK Bank – TCH R Bear CBBC Feb 2017 A                           | 40,000,000           | 2016/03/29   | 2017/02/06 | 10.00                     |
| 64130 | J P Morgan SP BV – A50 China R Bull CBBC Jan 2017 E            | 70,000,000           | 2016/03/29   | 2017/01/20 | 17.50                     |
| 64123 | J P Morgan SP BV – HSI R Bull CBBC Feb 2017 Y                  | 200,000,000          | 2016/03/29   | 2017/02/27 | 50.00                     |
| 64131 | J P Morgan SP BV – HSI R Bull CBBC Jul 2017 G                  | 200,000,000          | 2016/03/29   | 2017/07/28 | 50.00                     |
| 64132 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 I                  | 150,000,000          | 2016/03/29   | 2016/07/28 | 37.50                     |
| 64127 | J P Morgan SP BV – Sands China R Bull CBBC Jan 2017 B          | 120,000,000          | 2016/03/29   | 2017/01/20 | 30.00                     |
| 64129 | J P Morgan SP BV – Sands China R Bear CBBC Nov 2016 A          | 100,000,000          | 2016/03/29   | 2016/11/18 | 25.00                     |
| 64124 | J P Morgan SP BV – Tencent R Bull CBBC Oct 2016 C              | 65,000,000           | 2016/03/29   | 2016/10/21 | 16.25                     |
| 64107 | Macquarie Bank Ltd. – HSI R Bear CBBC Sep 2016 E               | 40,000,000           | 2016/03/29   | 2016/09/29 | 10.00                     |
| 64106 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Sep16 K | 200,000,000          | 2016/03/29   | 2016/09/29 | 50.00                     |
| 64105 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Sep16 V | 200,000,000          | 2016/03/29   | 2016/09/29 | 50.00                     |
| 64119 | UBS AG – HSI R Bull CBBC May 2017 E                            | 200,000,000          | 2016/03/29   | 2017/05/29 | 50.00                     |
| 64113 | UBS AG – HSI R Bear CBBC Jun 2016 U                            | 200,000,000          | 2016/03/29   | 2016/06/29 | 50.00                     |
| 64114 | UBS AG – HSI R Bear CBBC Jun 2016 V                            | 200,000,000          | 2016/03/29   | 2016/06/29 | 50.00                     |
| 64116 | UBS AG – HSI R Bear CBBC Jun 2016 W                            | 200,000,000          | 2016/03/29   | 2016/06/29 | 50.00                     |
| 64118 | UBS AG – HSI R Bear CBBC Jun 2016 X                            | 200,000,000          | 2016/03/29   | 2016/06/29 | 50.00                     |
| 64225 | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC May 2017 E       | 250,000,000          | 2016/03/30   | 2017/05/29 | 62.50                     |
| 64199 | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jul 2016 M       | 200,000,000          | 2016/03/30   | 2016/07/28 | 50.00                     |
| 64241 | Credit Suisse AG – HKEX R Bull CBBC Nov 2016 A                 | 100,000,000          | 2016/03/30   | 2016/11/30 | 25.00                     |
| 64238 | Credit Suisse AG – HSI R Bull CBBC Jul 2017 A                  | 200,000,000          | 2016/03/30   | 2017/07/28 | 50.00                     |
| 64221 | Credit Suisse AG – HSI R Bear CBBC Jun 2016 X                  | 200,000,000          | 2016/03/30   | 2016/06/29 | 50.00                     |
| 64218 | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jul 2017 A           | 200,000,000          | 2016/03/30   | 2017/07/28 | 50.60                     |
| 64198 | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 P           | 200,000,000          | 2016/03/30   | 2016/07/28 | 50.40                     |
| 64146 | HK Bank – BOCL R Bull CBBC Jul 2017 A                          | 50,000,000           | 2016/03/30   | 2017/07/31 | 12.50                     |
| 64174 | HK Bank – CUni R Bull CBBC Jun 2017 A                          | 40,000,000           | 2016/03/30   | 2017/06/30 | 10.00                     |
| 64172 | HK Bank – CC Bank R Bull CBBC Dec 2016 I                       | 50,000,000           | 2016/03/30   | 2016/12/30 | 12.50                     |
| 64152 | HK Bank – CSOP A50 ETF R Bull CBBC Jan 2017 D                  | 50,000,000           | 2016/03/30   | 2017/01/09 | 12.50                     |
| 64159 | HK Bank – CSOP A50 ETF R Bull CBBC Feb 2017 F                  | 50,000,000           | 2016/03/30   | 2017/02/27 | 12.50                     |
| 64162 | HK Bank – CSOP A50 ETF R Bull CBBC Feb 2017 G                  | 50,000,000           | 2016/03/30   | 2017/02/28 | 12.50                     |
| 64167 | HK Bank – CSOP A50 ETF R Bull CBBC Mar 2017 I                  | 50,000,000           | 2016/03/30   | 2017/03/27 | 14.00                     |
| 64169 | HK Bank – Galaxy Ent R Bull CBBC Jun 2017 B                    | 40,000,000           | 2016/03/30   | 2017/06/26 | 16.80                     |
| 64170 | HK Bank – Galaxy Ent R Bear CBBC Dec 2016 C                    | 40,000,000           | 2016/03/30   | 2016/12/05 | 10.00                     |
| 64196 | HK Bank – HKEX R Bull CBBC Nov 2016 I                          | 50,000,000           | 2016/03/30   | 2016/11/30 | 12.50                     |
| 64177 | HK Bank – HKEX R Bull CBBC Dec 2016 G                          | 50,000,000           | 2016/03/30   | 2016/12/05 | 12.50                     |
| 64175 | HK Bank – HS H-SH ETF R Bull CBBC Jul 2017 B                   | 50,000,000           | 2016/03/30   | 2017/07/31 | 12.50                     |
| 64151 | HK Bank – HSCEI R Bull CBBC Nov 2016 P                         | 60,000,000           | 2016/03/30   | 2016/11/29 | 15.00                     |
| 64148 | HK Bank – HSCEI R Bear CBBC Dec 2016 D                         | 50,000,000           | 2016/03/30   | 2016/12/29 | 12.50                     |
| 64176 | HK Bank – Sands China R Bull CBBC Feb 2017 A                   | 40,000,000           | 2016/03/30   | 2017/02/27 | 14.00                     |
| 64255 | J P Morgan SP BV – CSOP A50 ETF R Bull CBBC Jan 2017 C         | 60,000,000           | 2016/03/30   | 2017/01/20 | 15.00                     |
| 64245 | J P Morgan SP BV – HKEX R Bull CBBC Nov 2016 F                 | 40,000,000           | 2016/03/30   | 2016/11/18 | 10.00                     |
| 64248 | J P Morgan SP BV – HSI R Bull CBBC Mar 2017 D                  | 150,000,000          | 2016/03/30   | 2017/03/30 | 37.50                     |
| 64254 | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 L                  | 200,000,000          | 2016/03/30   | 2016/07/28 | 50.00                     |
| 64226 | Macquarie Bank Ltd. – HSI R Bull CBBC Sep 2016 H               | 40,000,000           | 2016/03/30   | 2016/09/29 | 10.00                     |
| 64229 | Macquarie Bank Ltd. – HSI R Bear CBBC Sep 2016 F               | 40,000,000           | 2016/03/30   | 2016/09/29 | 10.00                     |
| 64203 | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 L | 200,000,000          | 2016/03/30   | 2016/10/28 | 50.00                     |

# MAIN BOARD CALLABLE BULL/BEAR CONTRACTS

| Code         | Callable Bull/Bear Contracts                                   | No. of issue (units) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|--------------|--|----------------------|--------------|------------|---------------------------|
| 64206        | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct16 M | 200,000,000          | 2016/03/30   | 2016/10/28 | 50.00                     |
| 64202        | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 I | 200,000,000          | 2016/03/30   | 2016/11/29 | 50.00                     |
| 64204        | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov16 J | 200,000,000          | 2016/03/30   | 2016/11/29 | 50.00                     |
| 64230        | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 F | 200,000,000          | 2016/03/30   | 2016/06/29 | 50.00                     |
| 64231        | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 I | 200,000,000          | 2016/03/30   | 2016/06/29 | 50.00                     |
| 64215        | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 Q | 200,000,000          | 2016/03/30   | 2016/06/29 | 50.00                     |
| 64217        | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jun16 R | 200,000,000          | 2016/03/30   | 2016/06/29 | 50.00                     |
| 64235        | UBS AG – HSI R Bull CBBC Nov 2016 P                            | 200,000,000          | 2016/03/30   | 2016/11/29 | 50.00                     |
| 64233        | UBS AG – HSI R Bull CBBC Jun 2017 V                            | 200,000,000          | 2016/03/30   | 2017/06/29 | 50.00                     |
| 64232        | UBS AG – HSI R Bear CBBC Jun 2016 Y                            | 200,000,000          | 2016/03/30   | 2016/06/29 | 50.00                     |
| 64308        | Credit Suisse AG – HKE X R Bear CBBC Jun 2016 A                | 100,000,000          | 2016/03/31   | 2016/06/30 | 25.00                     |
| 64298        | Credit Suisse AG – HSI R Bull CBBC Jul 2017 B                  | 200,000,000          | 2016/03/31   | 2017/07/28 | 50.00                     |
| 64307        | Credit Suisse AG – HSI R Bear CBBC Jul 2016 W                  | 200,000,000          | 2016/03/31   | 2016/07/28 | 50.00                     |
| 64331        | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jul 2016 Q           | 200,000,000          | 2016/03/31   | 2016/07/28 | 50.80                     |
| 64278        | HK Bank – China Mobile R Bear CBBC Apr 2017 A                  | 40,000,000           | 2016/03/31   | 2017/04/28 | 12.40                     |
| 64277        | HK Bank – China Life R Bull CBBC Jan 2017 B                    | 50,000,000           | 2016/03/31   | 2017/01/16 | 12.50                     |
| 64286        | HK Bank – CSOP A50 ETF R Bull CBBC Jan 2017 E                  | 50,000,000           | 2016/03/31   | 2017/01/19 | 12.50                     |
| 64289        | HK Bank – A50 R Bull CBBC Jan 2017 E                           | 50,000,000           | 2016/03/31   | 2017/01/09 | 12.50                     |
| 64267        | HK Bank – HKE X R Bull CBBC Dec 2016 H                         | 50,000,000           | 2016/03/31   | 2016/12/30 | 12.50                     |
| 64256        | HK Bank – HKE X R Bear CBBC Dec 2016 C                         | 40,000,000           | 2016/03/31   | 2016/12/30 | 10.00                     |
| 64261        | HK Bank – HKE X R Bear CBBC Jan 2017 A                         | 40,000,000           | 2016/03/31   | 2017/01/09 | 11.60                     |
| 64263        | HK Bank – HKE X R Bear CBBC Jan 2017 B                         | 40,000,000           | 2016/03/31   | 2017/01/16 | 18.00                     |
| 64293        | HK Bank – HSI R Bull CBBC Nov 2016 W                           | 150,000,000          | 2016/03/31   | 2016/11/29 | 37.50                     |
| 64265        | HK Bank – Haitong Sec R Bull CBBC Jan 2017 B                   | 40,000,000           | 2016/03/31   | 2017/01/16 | 10.00                     |
| 64268        | HK Bank – Ping An R Bull CBBC Dec 2016 K                       | 50,000,000           | 2016/03/31   | 2016/12/12 | 12.50                     |
| 64270        | HK Bank – TCH R Bear CBBC Jan 2017 A                           | 40,000,000           | 2016/03/31   | 2017/01/16 | 14.80                     |
| 64272        | HK Bank – TCH R Bear CBBC Feb 2017 B                           | 40,000,000           | 2016/03/31   | 2017/02/27 | 18.40                     |
| 64326        | J P Morgan SP BV – China Life R Bull CBBC Sep 2016 A           | 40,000,000           | 2016/03/31   | 2016/09/15 | 10.80                     |
| 64325        | J P Morgan SP BV – Galaxy Ent R Bull CBBC Mar 2017 A           | 100,000,000          | 2016/03/31   | 2017/03/17 | 25.00                     |
| 64313        | J P Morgan SP BV – HSI R Bull CBBC Sep 2017 C                  | 200,000,000          | 2016/03/31   | 2017/09/28 | 50.00                     |
| 64318        | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 N                  | 150,000,000          | 2016/03/31   | 2016/07/28 | 37.50                     |
| 64319        | J P Morgan SP BV – HSI R Bear CBBC Jul 2016 Q                  | 150,000,000          | 2016/03/31   | 2016/07/28 | 37.50                     |
| 64323        | J P Morgan SP BV – HSI R Bear CBBC Aug 2016 L                  | 150,000,000          | 2016/03/31   | 2016/08/30 | 37.50                     |
| 64299        | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 Q | 200,000,000          | 2016/03/31   | 2016/07/28 | 50.00                     |
| 64300        | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jul16 V | 200,000,000          | 2016/03/31   | 2016/07/28 | 50.00                     |
| 64304        | UBS AG – HSI R Bull CBBC Jun 2017 W                            | 200,000,000          | 2016/03/31   | 2017/06/29 | 50.00                     |
| 64305        | UBS AG – HSI R Bear CBBC Jul 2016 O                            | 200,000,000          | 2016/03/31   | 2016/07/28 | 50.00                     |
| 64306        | UBS AG – HSI R Bear CBBC Jul 2016 P                            | 200,000,000          | 2016/03/31   | 2016/07/28 | 50.00                     |
| <b>Total</b> |  |                      |              |            | <b>94,755.60</b>          |

# Further issue

# DR/ELI/TRADING ONLY STOCKS TRADING STATISTICS

## Depository Receipt Trading Statistics

|      |    | No. of issues | Turnover value (HK\$ mil.) |
|------|----|---------------|----------------------------|
| 2015 | Q1 | 4             | 43.92                      |
|      | Q2 | 4             | 107.08                     |
|      | Q3 | 4             | 67.99                      |
|      | Q4 | 4             | 49.30                      |
| 2016 | Q1 | 4             | 29.99                      |

## Equity Linked Instrument Trading Statistics

|      |    | No. of issues | Turnover value (HK\$ mil.) |
|------|----|---------------|----------------------------|
| 2015 | Q1 | -             | -                          |
|      | Q2 | -             | -                          |
|      | Q3 | -             | -                          |
|      | Q4 | -             | -                          |
| 2016 | Q1 | -             | -                          |

## NASDAQ Stocks

|      |    | No. of issues | Turnover value (HK\$ mil.) |
|------|----|---------------|----------------------------|
| 2015 | Q1 | 7             | 0.20                       |
|      | Q2 | 6             | 0.48                       |
|      | Q3 | 6             | 0.01                       |
|      | Q4 | 6             | 0.01                       |
| 2016 | Q1 | 6             | 0.04                       |

## iShares

|      |    | No. of issues | Turnover value (HK\$ mil.) |
|------|----|---------------|----------------------------|
| 2015 | Q1 | 2             | -                          |
|      | Q2 | 2             | -                          |
|      | Q3 | 2             | -                          |
|      | Q4 | 2             | 0.09                       |
| 2016 | Q1 | 2             | -                          |

# GEM EQUITIES

## Equity Turnover – GEM

|      |    | Share (Mil. shs) | Value (HK\$ mil.) | No. of deals |
|------|----|------------------|-------------------|--------------|
| 2015 | Q1 | 74,102.98        | 31,767.18         | 912,664      |
|      | Q2 | 254,155.08       | 131,631.55        | 2,815,024    |
|      | Q3 | 137,580.38       | 51,332.73         | 1,377,832    |
|      | Q4 | 136,058.68       | 39,886.12         | 1,212,890    |
| 2016 | Q1 | 85,420.86        | 25,666.83         | 730,890      |

## Equity Trading Statistics – GEM

|      |    | No. of trading days | Average daily turnover (HK\$ mil.) | Average value per deal |
|------|----|---------------------|------------------------------------|------------------------|
| 2015 | Q1 | 61                  | 520.77                             | 34,807                 |
|      | Q2 | 60                  | 2,193.86                           | 46,760                 |
|      | Q3 | 63                  | 814.81                             | 37,256                 |
|      | Q4 | 63                  | 633.11                             | 32,885                 |
| 2016 | Q1 | 59                  | 435.03                             | 35,117                 |

## 20 Most Advanced GEM Stocks

for 1st quarter 2016

| Rank | Code  | Stock           | Closing price   |                 | % up   |
|------|-------|-----------------|-----------------|-----------------|--------|
|      |       |                 | End of Mar 2016 | End of Dec 2015 |        |
| 1    | 08027 | KPM HOLDING     | 3.280           | 0.790           | 315.19 |
| 2    | 08301 | MINGWAH HI TECH | 0.660           | 0.210           | 214.29 |
| 3    | 08340 | VINCO FINANCIAL | 1.050           | 0.385           | 172.73 |
| 4    | 08295 | ASIAN CAPITAL H | 0.690           | 0.380           | 81.58  |
| 5    | 08250 | SILK RD ENERGY  | 0.242           | 0.135           | 79.26  |
| 6    | 08007 | GLOBALSTRAT     | 0.285           | 0.172           | 65.70  |
| 7    | 08101 | JIA MENG HLDG   | 0.109           | 0.070           | 55.71  |
| 8    | 08277 | STEEDORIENTAL   | 1.320           | 0.860           | 53.49  |
| 9    | 08022 | EVERSHINE GP    | 0.345           | 0.228           | 51.32  |
| 10   | 08127 | SEASON PACIFIC  | 5.310           | 3.560           | 49.16  |
| 11   | 08063 | GLOBAL M HLDG   | 0.155           | 0.104           | 49.04  |
| 12   | 08150 | SEAMLESS GREEN  | 0.250           | 0.172           | 45.35  |
| 13   | 08097 | PINESTONE-NEW   | 0.760           | 0.528           | 43.94  |
| 14   | 08175 | C DIGITAL CUL   | 0.570           | 0.400           | 42.50  |
| 15   | 08181 | KONGSHUMUNION   | 0.243           | 0.172           | 41.28  |
| 16   | 08233 | CIG PORTS       | 0.610           | 0.445           | 37.08  |
| 17   | 08189 | TEDA BIOMEDICAL | 1.820           | 1.360           | 33.82  |
| 18   | 08177 | REF HOLDINGS    | 0.870           | 0.680           | 27.94  |
| 19   | 08029 | SUN INT'L       | 1.070           | 0.840           | 27.38  |
| 20   | 08051 | TELEEYE HOLDING | 0.450           | 0.355           | 26.76  |

A Adjusted

# GEM EQUITIES

## 20 Most Declined GEM Stocks

for 1st quarter 2016

| Rank | Code  | Stock           | Closing price   |                 | % down |
|------|-------|-----------------|-----------------|-----------------|--------|
|      |       |                 | End of Mar 2016 | End of Dec 2015 |        |
| 1    | 08140 | ICO GROUP       | 0.098           | 0.860           | -88.60 |
| 2    | 08148 | AURUM PACIFIC   | 0.250           | 0.820 A         | -69.51 |
| 3    | 08272 | C FOOD&BEV GP   | 0.193           | 0.550           | -64.91 |
| 4    | 08270 | CHINA CBM       | 0.066           | 0.180           | -63.33 |
| 5    | 08201 | PPS INT'L-NEW   | 0.104           | 0.240 A         | -56.67 |
| 6    | 08218 | ECHO INT HOLD   | 1.050           | 2.400           | -56.25 |
| 7    | 08186 | IR RESOURCES    | 0.037           | 0.077           | -51.95 |
| 8    | 08050 | YUNBO DIGITAL   | 1.120           | 2.300           | -51.30 |
| 9    | 08018 | FINSOFT FIN     | 0.033           | 0.065           | -49.23 |
| 10   | 08120 | CH DEMETER INV  | 0.128           | 0.251 A         | -49.00 |
| 11   | 08109 | CREATIVE EN-NEW | 0.144           | 0.278 A         | -48.20 |
| 12   | 08260 | YIN HE HLDGS    | 0.950           | 1.800           | -47.22 |
| 13   | 08112 | FOCUS MEDIA     | 0.230           | 0.420           | -45.24 |
| 14   | 08100 | GET HOLDINGS    | 0.119           | 0.212           | -43.87 |
| 15   | 08086 | DX.COM HOLDINGS | 0.151           | 0.265           | -43.02 |
| 16   | 08226 | SUNRISE C TECH  | 0.209           | 0.355           | -41.13 |
| 17   | 08041 | LUXEY INT'L     | 0.140           | 0.235           | -40.43 |
| 18   | 08132 | CHINAOILGANGRAN | 0.100           | 0.163           | -38.65 |
| 19   | 08116 | C FORTUNE INV   | 0.220           | 0.355           | -38.03 |
| 20   | 08182 | CHINA CANDY     | 0.130           | 0.205           | -36.59 |

A Adjusted

# GEM EQUITIES

## 20 Most Active GEM Stocks by Value

for 1st quarter 2016

| Rank         | Code  | Stock           | Turnover (HK\$ mil.) | % of total   |
|--------------|-------|-----------------|----------------------|--------------|
| 1            | 08088 | AID PARTNERS    | 1,848.88             | 7.20         |
| 2            | 08279 | AGTECH HOLDINGS | 1,612.39             | 6.28         |
| 3            | 08195 | L&A INTL HOLD   | 1,499.06             | 5.84         |
| 4            | 08207 | CREDIT CHINA    | 1,052.61             | 4.10         |
| 5            | 08046 | HENG XIN CHINA  | 818.48               | 3.19         |
| 6            | 08282 | GAMEONE         | 721.99               | 2.81         |
| 7            | 08167 | NEO TELEMEDIA   | 707.69               | 2.76         |
| 8            | 08260 | YIN HE HLDGS    | 598.71               | 2.33         |
| 9            | 08325 | CHINA SMARTPAY  | 453.21               | 1.77         |
| 10           | 08089 | CHINESE STRAT   | 446.96               | 1.74         |
| 11           | 08078 | CHINA3D DIGIT   | 440.08               | 1.71         |
| 12           | 08295 | ASIAN CAPITAL H | 432.69               | 1.69         |
| 13           | 08301 | MINGWAH HI TECH | 392.78               | 1.53         |
| 14           | 08156 | CHINA VANGUARD  | 384.76               | 1.50         |
| 15           | 08095 | BEIDA JADE BIRD | 371.99               | 1.45         |
| 16           | 08171 | CHINA TRENDS    | 371.54               | 1.45         |
| 17           | 08022 | EVERSHINE GP    | 364.96               | 1.42         |
| 18           | 08059 | GLORY FLAME     | 350.91               | 1.37         |
| 19           | 08218 | ECHO INT HOLD   | 343.38               | 1.34         |
| 20           | 08057 | MADISON WINE    | 337.47               | 1.31         |
| <b>Total</b> |       |                 | <b>13,550.55</b>     | <b>52.79</b> |



# GEM EQUITIES

## 20 Most Active GEM Stock by Shares

for 1st quarter 2016

| Rank         | Code  | Stock           | Turnover (Mil. shs) | % of total   |
|--------------|-------|-----------------|---------------------|--------------|
| 1            | 08171 | CHINA TRENDS    | 9,893.56            | 11.58        |
| 2            | 08088 | AID PARTNERS    | 8,761.05            | 10.26        |
| 3            | 08006 | SINO SPLENDID   | 4,156.10            | 4.87         |
| 4            | 08018 | FINSOFT FIN     | 3,606.11            | 4.22         |
| 5            | 08046 | HENG XIN CHINA  | 3,053.57            | 3.57         |
| 6            | 08186 | IR RESOURCES    | 2,045.88            | 2.40         |
| 7            | 08173 | PAN ASIA MINING | 1,890.60            | 2.21         |
| 8            | 08101 | JIA MENG HLDG   | 1,834.33            | 2.15         |
| 9            | 08087 | CHINA 33MEDIA   | 1,761.26            | 2.06         |
| 10           | 08167 | NEO TELEMEDIA   | 1,694.03            | 1.98         |
| 11           | 08238 | WINTO GROUP     | 1,656.34            | 1.94         |
| 12           | 08140 | ICO GROUP       | 1,583.74            | 1.85         |
| 13           | 08179 | FOOD IDEA       | 1,379.65            | 1.62         |
| 14           | 08109 | CREATIVE EN-NEW | 1,332.20            | 1.56         |
| 15           | 08022 | EVERSHINE GP    | 1,295.33            | 1.52         |
| 16           | 08072 | ROMA GROUP      | 1,248.87            | 1.46         |
| 17           | 08315 | KING FORCE GP   | 1,233.47            | 1.44         |
| 18           | 08007 | GLOBALSTRAT     | 1,185.32            | 1.39         |
| 19           | 08396 | IE CHINA RTS    | 1,122.05            | 1.31         |
| 20           | 08201 | PPS INT'L-NEW   | 1,109.90            | 1.30         |
| <b>Total</b> |       |                 | <b>51,843.35</b>    | <b>60.69</b> |

# GEM EQUITIES

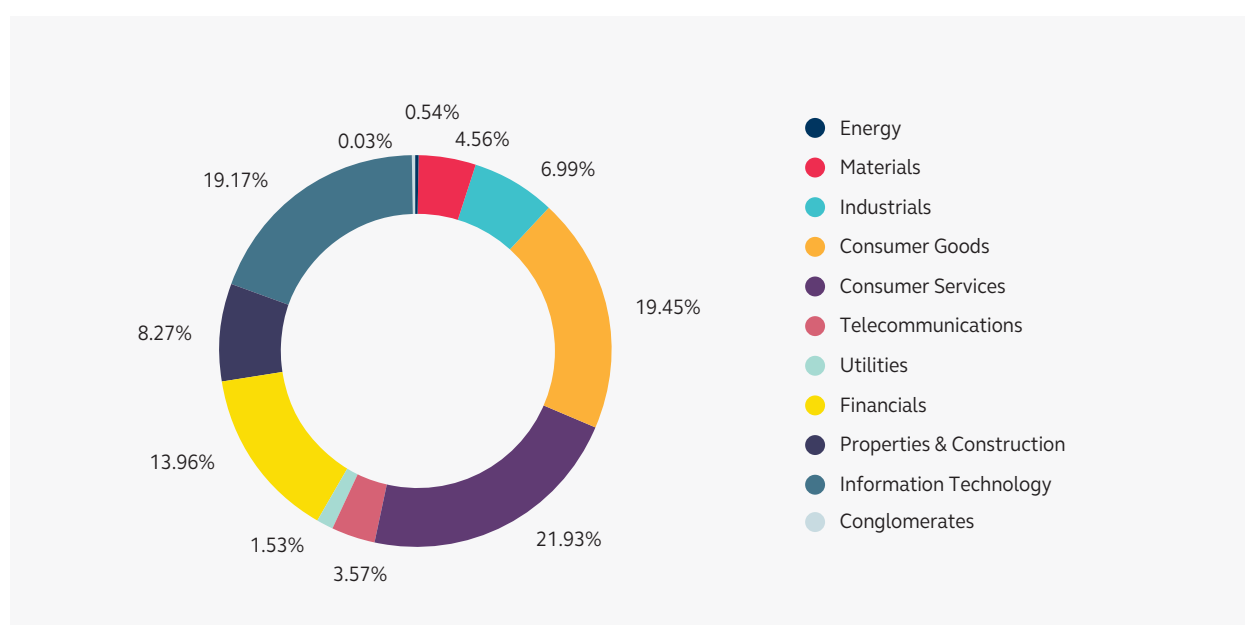
## Market Capitalisation of Listed Companies for GEM

as at the quarter end

|      |    | HK\$ mil.  |
|------|----|------------|
| 2015 | Q1 | 207,611.93 |
|      | Q2 | 326,139.64 |
|      | Q3 | 224,157.68 |
|      | Q4 | 258,175.74 |
| 2016 | Q1 | 248,978.34 |

## Market Capitalisation by Hang Seng Industry Classification System\* – GEM

Quarter-end figures



\* Hang Seng Industry Classification System (HSICS) is provided by Hang Seng Indexes Company Limited.

Note: New Hang Seng Industry Classification System took effect on 9 September 2013.

# GEM EQUITIES

## 50 Leading Companies by Market Capitalisation – GEM

as at the 1st quarter end 2016

| Rank                | Company  | Market capitalisation<br>(HK\$ mil.) | % of market total |
|---------------------|--|--------------------------------------|-------------------|
| 1                   | 08195 L & A International Holdings Ltd.                            | 12,800.00                            | 5.14              |
| 2                   | 08207 Credit China Holdings Ltd.                                   | 12,556.09                            | 5.04              |
| 3                   | 08279 AGTech Holdings Ltd.   | 8,940.73                             | 3.59              |
| 4                   | 08368 Creative China Holdings Ltd.                                 | 7,848.00                             | 3.15              |
| 5                   | 08147 Millennium Pacific Group Holdings Ltd.                       | 6,796.14                             | 2.73              |
| 6                   | 08138 Beijing Tong Ren Tang Chinese Medicine Co. Ltd.              | 6,763.77                             | 2.72              |
| 7                   | 08032 Viva China Holdings Ltd.                                     | 6,648.70                             | 2.67              |
| 8                   | 08008 Sunevision Holdings Ltd.                                     | 5,666.59                             | 2.28              |
| 9                   | 08158 China Regenerative Medicine International Ltd.               | 5,365.61                             | 2.16              |
| 10                  | 08127 Season Pacific Holdings Ltd.                                 | 5,310.00                             | 2.13              |
| 11                  | 08316 Pak Wing Group (Holdings) Ltd.                               | 5,240.00                             | 2.10              |
| 12                  | 08245 On Real International Holdings Ltd.                          | 5,126.40                             | 2.06              |
| 13                  | 08137 Honbridge Holdings Ltd.                                      | 5,110.18                             | 2.05              |
| 14                  | 08005 Yuxing InfoTech Investment Holdings Ltd.                     | 4,755.77                             | 1.91              |
| 15                  | 08057 Madison Wine Holdings Ltd.                                   | 4,472.00                             | 1.80              |
| 16                  | 08021 WLS Holdings Ltd.  | 4,149.31                             | 1.67              |
| 17                  | 08167 Neo Telemedia Ltd.   | 3,811.54                             | 1.53              |
| 18                  | 08097 Pinestone Captial Ltd.                                       | 3,648.00                             | 1.47              |
| 19                  | 08326 JC Group Holdings Ltd.                                       | 3,160.00                             | 1.27              |
| 20                  | 08099 China Wood Optimization (Holding) Ltd.                       | 3,140.00                             | 1.26              |
| 21                  | 08193 GreaterChina Professional Services Ltd.                      | 3,109.10                             | 1.25              |
| 22                  | 08237 Link Holdings Ltd.   | 3,106.10                             | 1.25              |
| 23                  | 08261 Haitian Hydropower International Ltd.                        | 3,083.40                             | 1.24              |
| 24                  | 08318 Ching Lee Holdings Ltd.                                      | 2,590.00                             | 1.04              |
| 25                  | 08295 Asian Capital Holdings Ltd.                                  | 2,439.49                             | 0.98              |
| 26                  | 08361 China Parenting Network Holdings Ltd.                        | 2,360.95                             | 0.95              |
| 27                  | 08172 Lajin Entertainment Network Group Ltd.                       | 2,336.29                             | 0.94              |
| 28                  | 08325 China Smartpay Group Holdings Ltd.                           | 2,237.06                             | 0.90              |
| 29                  | 08078 China 3D Digital Entertainment Ltd.                          | 2,184.67                             | 0.88              |
| 30                  | 08046 Heng Xin China Holdings Ltd.                                 | 2,101.36                             | 0.84              |
| 31                  | 08058 Shandong Luoxin Pharmaceutical Group Stock Co., Ltd. – H Shs | 2,030.67                             | 0.82              |
| 32                  | 08083 China Innovationpay Group Ltd.                               | 2,015.28                             | 0.81              |
| 33                  | 08156 China Vanguard Group Ltd.                                    | 1,934.98                             | 0.78              |
| 34                  | 08176 SkyNet Group Ltd.  | 1,889.11                             | 0.76              |
| 35                  | 08068 New Universe International Group Ltd.                        | 1,773.42                             | 0.71              |
| 36                  | 08077 KVB Kunlun Financial Group Ltd.                              | 1,707.92                             | 0.69              |
| 37                  | 08016 Changhong Jiahua Holdings Ltd.                               | 1,687.40                             | 0.68              |
| 38                  | 08030 Flying Financial Service Holdings Ltd.                       | 1,637.99                             | 0.66              |
| 39                  | 08189 Tianjin TEDA Biomedical Engineering Co. Ltd. – H Shares      | 1,633.45                             | 0.66              |
| 40                  | 08007 Global Strategic Group Ltd.                                  | 1,611.68                             | 0.65              |
| 41                  | 08088 AID Partners Capital Holdings Ltd.                           | 1,604.27                             | 0.64              |
| 42                  | 08315 King Force Group Holdings Ltd.                               | 1,593.60                             | 0.64              |
| 43                  | 08090 China Assurance Finance Group Ltd.                           | 1,561.99                             | 0.63              |
| 44                  | 08246 Northern New Energy Holdings Ltd.                            | 1,549.27                             | 0.62              |
| 45                  | 08155 South China Assets Holdings Ltd.                             | 1,542.63                             | 0.62              |
| 46                  | 08311 Perfect Optronics Ltd.                                       | 1,528.20                             | 0.61              |
| 47                  | 08267 Linekong Interactive Group Co., Ltd.                         | 1,523.43                             | 0.61              |
| 48                  | 08262 Super Strong Holdings Ltd.                                   | 1,520.00                             | 0.61              |
| 49                  | 08050 Yunbo Digital Synergy Group Ltd.                             | 1,519.00                             | 0.61              |
| 50                  | 08029 Sun International Resources Ltd.                             | 1,488.80                             | 0.60              |
| <b>Total</b>        |  | <b>180,210.34</b>                    | <b>72.38</b>      |
| <b>Market Total</b> |  | <b>248,978.34</b>                    | <b>100.00</b>     |

# GEM EQUITIES

## New Listing Statistics – equities for GEM

|      |    | No. of newly listed companies | Funds raised (HK\$ mil.) |
|------|----|-------------------------------|--------------------------|
| 2015 | Q1 | 9                             | 626.75                   |
|      | Q2 | 5                             | 404.40                   |
|      | Q3 | 7                             | 777.74                   |
|      | Q4 | 13                            | 931.94                   |
| 2016 | Q1 | 6                             | 344.80                   |

## Newly Listed Companies for GEM

for 1st quarter 2016

| Code         | Company name                          | Listing date | No. of issued shares | Funds raised (HK\$ mil.) |
|--------------|---------------------------------------|--------------|----------------------|--------------------------|
| 08113        | Hi-Level Technology Holdings Ltd.     | 2016/01/07   | 600,000,000          | 46.50                    |
| 08282        | Gameone Holdings Ltd.                 | 2016/01/13   | 160,000,000          | 50.00                    |
| 08345        | Fire Rock Holdings Ltd.               | 2016/02/18   | 160,000,000          | 51.20                    |
| 08070        | Keen Ocean International Holding Ltd. | 2016/02/24   | 200,000,000          | 33.00                    |
| 08318        | Ching Lee Holdings Ltd.               | 2016/03/29   | 1,000,000,000        | 84.90                    |
| 08262        | Super Strong Holdings Ltd.            | 2016/03/30   | 800,000,000          | 79.20                    |
| <b>Total</b> |                                       |              |                      | <b>344.80</b>            |

## Withdrawal of Listed Companies – GEM

for 1st quarter 2016

| Code  | Company name                          | Last trading date | Delisted date |
|-------|---------------------------------------|-------------------|---------------|
| 08036 | Goldenmars Technology Holdings Ltd. * | 2016/03/29        | 2016/03/30 §  |

\* Transfers of listing from GEM to Main Board pursuant to the revised Rule 9.24 of the GEM Listing Rules and to the new Chapter 9A of the Main Board Listing Rules effective from 1 July 2008.

§ Effective date of the transfer of listing from GEM to Main Board.

## Company Name Changes for GEM

for 1st quarter 2016

| Code  | Old name   | New name   | Effective date | Adoption date |
|-------|--|--|----------------|---------------|
| 08155 | South China Land Ltd.                                  | South China Assets Holdings Ltd.                             | 2015/12/15     | 2016/01/18    |
| 08081 | China Mobile Games and Cultural Investment Ltd.        | Interactive Entertainment China Cultural Technology Inv Ltd. | 2016/01/05     | 2016/01/29    |
| 08227 | Xi'an Haitian Antenna Technologies Co. Ltd. – H Shares | Xi'an Haitian Antenna Holdings Co., Ltd. – H Shares          | 2015/12/23     | 2016/02/11    |
| 08260 | Zebra Strategic Holdings Ltd.                          | Yin He Holdings Ltd.   | 2016/01/08     | 2016/03/01    |
| 08315 | King Force Security Holdings Ltd.                      | King Force Group Holdings Ltd.                               | 2016/02/12     | 2016/03/15    |
| 08176 | EDS Wellness Holdings Ltd.                             | SkyNet Group Ltd.  | 2016/01/29     | 2016/03/22    |

## GEM EQUITIES

### Bonus Issues/Bonus Warrants for GEM

for 1st quarter 2016

| Code  | Company                    | Particulars            | Ex-date    |
|-------|----------------------------|------------------------|------------|
| 08171 | China Trends Holdings Ltd. | 1 for 1<br>2 wts for 5 | 2016/03/09 |

### Share Split/Consolidation for GEM

for 1st quarter 2016

| Code  | Company  | Particulars             | Effective date |
|-------|--|-------------------------|----------------|
| 08120 | China Demeter Investments Ltd.                 | Consolidation 5 into 1  | 2016/02/04     |
| 08148 | Aurum Pacific (China) Group Ltd.               | Consolidation 10 into 1 | 2016/02/22     |
| 08037 | Rui Kang Pharmaceutical Group Investments Ltd. | Consolidation 2 into 1  | 2016/02/23     |
| 08109 | Creative Energy Solutions Holdings Ltd.        | Consolidation 10 into 1 | 2016/03/08     |
| 08097 | Pinestone Captial Ltd.                         | Split 1 into 10         | 2016/03/15     |
| 08201 | PPS International (Holdings) Ltd.              | Consolidation 10 into 1 | 2016/03/15     |

### Rights Issues & Open Offers for GEM

for 1st quarter 2016

| Month        | Code  | Company   | Ratio                | Funds raised (HK\$ mil.) |
|--------------|-------|---|----------------------|--------------------------|
| Feb          | 08063 | Global Mastermind Holdings Ltd.                                 | Rts 2 for 1 @\$0.10  | 152.91                   |
|              | 08019 | Hao Wen Holdings Ltd.   | Rts 6 for 1 @\$0.16  | 245.32                   |
| Mar          | 08215 | First Credit Finance Group Ltd.                                 | Rts 9 for 1 @\$0.127 | 414.77                   |
|              | 08081 | Interactive Entertainment China<br>Cultural Technology Inv Ltd. | Rts 5 for 1 @\$0.155 | 530.20                   |
| <b>Total</b> |       |   |                      | <b>1,343.20</b>          |

# GEM EQUITIES

## Placing\*

| Month        | Code  | Company         | No. of<br>new shares<br>placed | Placing price<br>(HK\$) | Funds raised<br>(HK\$ mil.) |
|--------------|-------|-----------------|--------------------------------|-------------------------|-----------------------------|
| 2016         |       |                 |                                |                         |                             |
| Jan          | 08325 | CHINA SMARTPAY  | 184,210,000                    | 1.9000                  | 350.00                      |
|              | 08233 | CIG PORTS       | 140,000,000                    | 0.4300                  | 60.20                       |
|              | 08086 | DX.COM HOLDINGS | 112,000,000                    | 0.2220                  | 24.86                       |
|              | 08018 | FINSOFT FIN     | 800,000,000                    | 0.0500                  | 40.00                       |
|              | 08215 | FIRST CREDIT    | 60,480,000                     | 0.1740                  | 10.52                       |
|              | 08085 | HK LIFE SCI     | 790,000,000                    | 0.1300                  | 102.70                      |
| Feb          | 08295 | ASIAN CAPITAL H | 1,630,756,836                  | 0.2980                  | 485.97                      |
|              | 08295 | ASIAN CAPITAL H | 400,000,000                    | 0.3876                  | 155.04                      |
|              | 08132 | CHINAOILGANGRAN | 240,000,000                    | 0.1050                  | 25.20                       |
|              | 08007 | GLOBALSTRAT     | 1,695,000,000                  | 0.0350                  | 59.33                       |
|              | 08261 | HAITIAN HYDRO   | 100,000,000                    | 1.0000                  | 100.00                      |
|              | 08046 | HENG XIN CHINA  | 1,740,000,000                  | 0.1150                  | 200.10                      |
|              | 08256 | NETEL           | 10,000,000                     | 0.1200                  | 1.20                        |
|              | 08072 | ROMA GROUP      | 724,000,000                    | 0.0290                  | 21.00                       |
| Mar          | 08165 | JIAN EPAYMENT   | 75,600,000                     | 0.1110                  | 8.39                        |
|              | 08026 | PROSTEN TECH    | 159,848,000                    | 0.3100                  | 49.55                       |
|              | 08130 | ZHI CHENG H     | 1,600,000,000                  | 0.1350                  | 216.00                      |
| <b>Total</b> |       |                 |                                |                         | <b>1,910.06</b>             |

\* Due to the reporting time-lag, placing figures for the quarter are provisional.

# GEM WARRANTS

## Warrant Trading and Market Value Statistics – GEM

|      |    | Number | Turnover value (HK\$ mil.) | Market value (HK\$ mil.) |
|------|----|--------|----------------------------|--------------------------|
| 2015 | Q1 | 0      | 0.00                       | 0.00                     |
|      | Q2 | 0      | 0.00                       | 0.00                     |
|      | Q3 | 1      | 41.31                      | 18.74                    |
|      | Q4 | 1      | 4.37                       | 9.86                     |
| 2016 | Q1 | 2      | 2.64                       | 99.62                    |

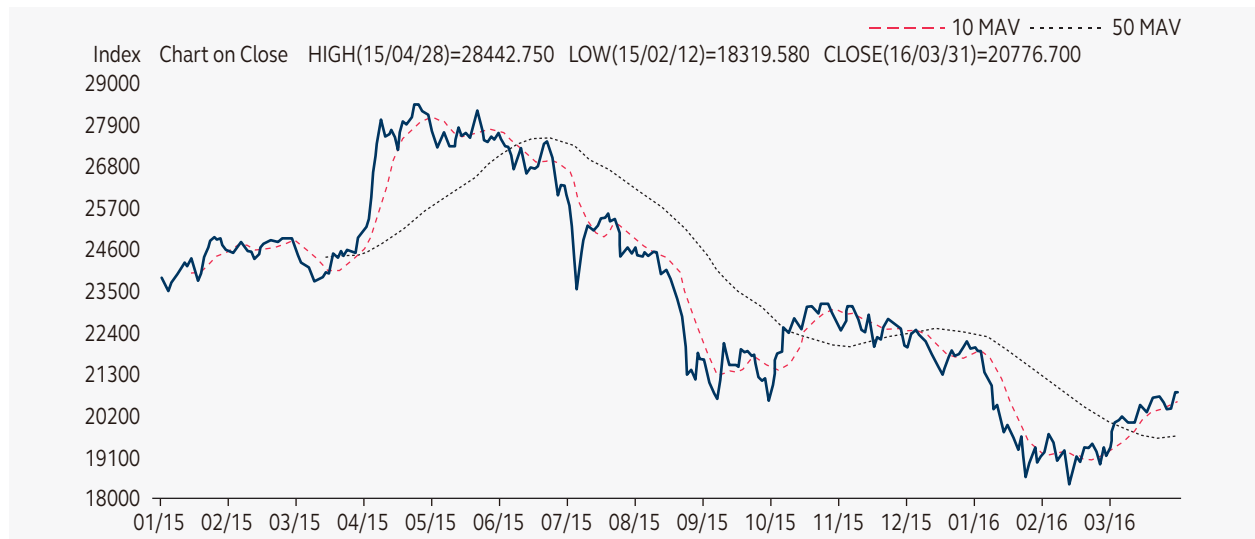
## Newly Listed Equity GEM Warrants

for 1st quarter 2016

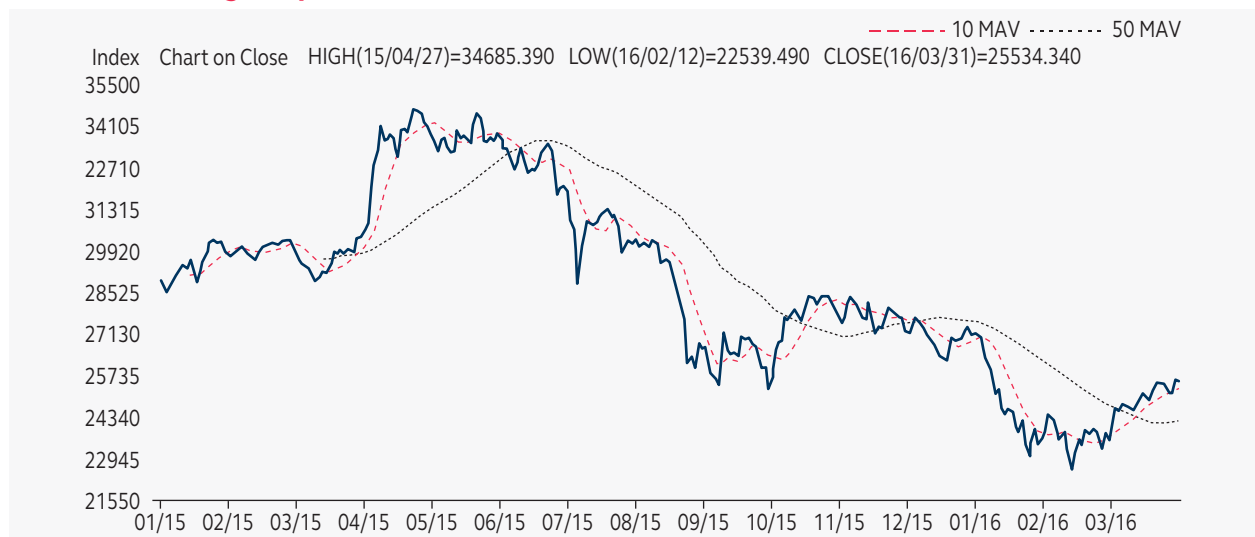
| Code         | Equity warrants                          | Initial issued amount (HK) | Listing date | Expiry     | Amount raised (HK\$ mil.) |
|--------------|--|----------------------------|--------------|------------|---------------------------|
| 08015        | China Trends Holdings Ltd. Warrants 2021 | 101,998,893                | 2016/03/30   | 2021/03/28 | -                         |
| <b>Total</b> |  |                            |              |            | <b>-</b>                  |

# STOCK MARKET INDICES

## Hang Seng Index



## S&P/HKEX LargeCap Index



## S&P/HKEX GEM Index





# STOCK MARKET INDICES

## Hong Kong Stock Market Indices

| Index   | End of Mar 2016<br>Close | End of Dec 2015<br>Close | Change % |
|---|--------------------------|--------------------------|----------|
| S&P/HKEX LargeCap Index                       | 25534.34                 | 27007.12                 | - 5.45%  |
| S&P/HKEX GEM Index                            | 422.76                   | 476.79                   | - 11.33% |
| HANG SENG INDEX                               | 20776.70                 | 21914.40                 | - 5.19%  |
| SECTORIAL INDICES                             |                          |                          |          |
| Finance                                       | 27125.40                 | 30576.03                 | - 11.29% |
| Utilities                                     | 52843.39                 | 51113.56                 | + 3.38%  |
| Properties                                    | 28973.39                 | 29907.17                 | - 3.12%  |
| Commerce & Industry                           | 12579.84                 | 12522.23                 | + 0.46%  |
| HANG SENG CHINA-AFFILIATED CORPORATIONS INDEX | 3772.08                  | 4052.12                  | - 6.91%  |
| HANG SENG CHINA ENTERPRISES INDEX             | 9003.25                  | 9661.03                  | - 6.81%  |

# STOCK MARKET INDICES

## World Indices

| Index                       | End of Mar 2016<br>Close | End of Dec 2015<br>Close | Change % |
|-----------------------------|--------------------------|--------------------------|----------|
| <b>HONG KONG</b>            |                          |                          |          |
| S&P/HKEX LargeCap Index     | 25534.34                 | 27007.12                 | - 5.45%  |
| Hang Seng Index             | 20776.70                 | 21914.40                 | - 5.19%  |
| <b>AUSTRALIA</b>            |                          |                          |          |
| All Ordinaries Index        | 5151.79                  | 5344.56                  | - 3.61%  |
| <b>JAKARTA</b>              |                          |                          |          |
| Composite Index             | 4845.37                  | 4593.01                  | + 5.49%  |
| <b>JAPAN</b>                |                          |                          |          |
| Nikkei (225)                | 16758.67                 | 19033.71                 | - 11.95% |
| <b>KOREA</b>                |                          |                          |          |
| KOSPI Index                 | 1995.85                  | 1961.31                  | + 1.76%  |
| <b>KUALA LUMPUR</b>         |                          |                          |          |
| Composite Index             | 1717.58                  | 1692.51                  | + 1.48%  |
| <b>MANILA</b>               |                          |                          |          |
| Composite Index             | 7262.30                  | 6952.08                  | + 4.46%  |
| <b>NEW ZEALAND</b>          |                          |                          |          |
| NZSE (50)                   | 6752.42                  | 6324.26                  | + 6.77%  |
| <b>SHANGHAI</b>             |                          |                          |          |
| A Shares Index              | 3143.56                  | 3704.30                  | - 15.14% |
| B Shares Index              | 375.16                   | 426.41                   | - 12.02% |
| <b>SHENZHEN</b>             |                          |                          |          |
| A Shares Index              | 2000.02                  | 2415.50                  | - 17.20% |
| B Shares Index              | 1144.26                  | 1309.36                  | - 12.61% |
| <b>SINGAPORE</b>            |                          |                          |          |
| Straits Times Index         | 2840.90                  | 2882.73                  | - 1.45%  |
| <b>TAIWAN</b>               |                          |                          |          |
| Taipei Weighted Stock Index | 8744.83                  | 8338.06                  | + 4.88%  |
| <b>THAILAND</b>             |                          |                          |          |
| SET Index                   | 1407.70                  | 1288.02                  | + 9.29%  |
| <b>NEW YORK</b>             |                          |                          |          |
| DJIA                        | 17685.09                 | 17425.03                 | + 1.49%  |
| Nasdaq Composite Index      | 4869.85                  | 5007.41                  | - 2.75%  |
| <b>TORONTO</b>              |                          |                          |          |
| S&P/TSX Composite Index     | 13494.36                 | 13009.95                 | + 3.72%  |
| <b>GERMANY</b>              |                          |                          |          |
| DAX Kursindex               | 4980.74                  | 5390.31                  | - 7.60%  |
| <b>LONDON</b>               |                          |                          |          |
| FTSE (100 Index)            | 6174.90                  | 6242.32                  | - 1.08%  |

# DERIVATIVES MARKET – FUTURES AND OPTIONS

## Contract Volume by Derivatives Products

| Derivatives product                                | Contracts         |                   |
|--|-------------------|-------------------|
|  | 1st Quarter 2016  | 1st Quarter 2015  |
| Hang Seng Index Futures                            | 8,344,875         | 3,925,409         |
| Hang Seng Index Options                            | 2,255,893         | 1,691,364         |
| Mini-Hang Seng Index Futures                       | 3,087,080         | 1,834,431         |
| Mini-Hang Seng Index Options                       | 290,886           | 243,616           |
| H-shares Index Futures                             | 9,089,155         | 6,635,210         |
| H-shares Index Options                             | 5,126,599         | 2,507,704         |
| Mini H-shares Index Futures                        | 1,501,592         | 1,673,669         |
| Flexible Hang Seng Index Options                   | 0                 | 200               |
| Flexible H-shares Index Options                    | 5,700             | 13,090            |
| HSI Dividend Point Index Futures                   | 7,502             | 3,300             |
| HSCEI Dividend Point Index Futures                 | 230,097           | 82,908            |
| HSI Volatility Index Futures                       | 30                | 50                |
| CES China 120 Index Futures                        | 143               | 14,375            |
| IBOVESPA Futures                                   | 0                 | 0                 |
| MICEX Index Futures                                | 0                 | 0                 |
| S&P BSE Sensex Index Futures                       | 0                 | 0                 |
| FTSE/JSE Top40 Futures                             | 0                 | 0                 |
| Stock Futures                                      | 92,936            | 168,602           |
| Stock Options                                      | 17,289,771        | 22,162,657        |
| Three-month HIBOR Futures                          | 12                | 80                |
| One-month HIBOR Futures                            | 0                 | 0                 |
| Three-year Exchange Fund Note Futures <sup>1</sup> | -                 | 0                 |
| RMB Currency Futures – USD/CNH Futures             | 184,531           | 58,303            |
| Gold Futures <sup>2</sup>                          | -                 | 0                 |
| London Aluminium Mini Futures                      | 374               | 2,711             |
| London Zinc Mini Futures                           | 2,346             | 3,378             |
| London Copper Mini Futures                         | 1,105             | 12,329            |
| London Lead Mini Futures <sup>3</sup>              | 0                 | -                 |
| London Nickel Mini Futures <sup>4</sup>            | 637               | -                 |
| London Tin Mini Futures <sup>5</sup>               | 6                 | -                 |
| <b>Total</b>                                       | <b>47,511,270</b> | <b>41,033,386</b> |

<sup>1</sup> Trading in 3-Year Exchange Fund Note Futures suspended with effect from 14 Sep 2015

<sup>2</sup> Trading in Gold Futures suspended with effect from 27 May 2015

<sup>3</sup> Trading in London Lead Mini Futures commenced on 14 Dec 2015

<sup>4</sup> Trading in London Nickel Mini Futures commenced on 14 Dec 2015

<sup>5</sup> Trading in London Tin Mini Futures commenced on 14 Dec 2015

## DERIVATIVES MARKET – FUTURES AND OPTIONS

### Hang Seng Index Futures – Contract Volume and Open Interest (contracts)

|      |    | Total<br>contract volume | Quarter-end<br>open interest |
|------|----|--------------------------|------------------------------|
| 2015 | Q1 | 3,925,409                | 115,396                      |
|      | Q2 | 4,892,457                | 120,329                      |
|      | Q3 | 5,212,839                | 102,582                      |
|      | Q4 | 7,209,070                | 97,118                       |
| 2016 | Q1 | 8,344,875                | 105,887                      |

### Mini Hang Seng Index Futures – Contract Volume and Open Interest (contracts)

|      |    | Total<br>contract volume | Quarter-end<br>open interest |
|------|----|--------------------------|------------------------------|
| 2015 | Q1 | 1,834,431                | 7,247                        |
|      | Q2 | 2,535,820                | 10,316                       |
|      | Q3 | 3,064,596                | 7,431                        |
|      | Q4 | 2,611,709                | 7,556                        |
| 2016 | Q1 | 3,087,080                | 9,138                        |

### Hang Seng Index Options – Contract Volume and Open Interest (contracts)

|      |    | Total<br>contract volume | Quarter-end<br>open interest |
|------|----|--------------------------|------------------------------|
| 2015 | Q1 | 1,691,364                | 203,839                      |
|      | Q2 | 2,107,749                | 202,300                      |
|      | Q3 | 2,093,981                | 257,268                      |
|      | Q4 | 1,622,372                | 172,564                      |
| 2016 | Q1 | 2,255,893                | 243,225                      |

### H-Share Index Futures – Contract Volume and Open Interest (contracts)

|      |    | Total<br>contract volume | Quarter-end<br>open interest |
|------|----|--------------------------|------------------------------|
| 2015 | Q1 | 6,635,210                | 303,145                      |
|      | Q2 | 9,273,172                | 317,137                      |
|      | Q3 | 9,576,380                | 349,891                      |
|      | Q4 | 7,894,548                | 384,767                      |
| 2016 | Q1 | 9,089,155                | 357,894                      |

### Stock Options Market Turnover and Open Interest (contracts)

|      |    | Total<br>Premium (HK\$ mil.) | Total<br>contract volume | Quarter-end<br>open interest |
|------|----|------------------------------|--------------------------|------------------------------|
| 2015 | Q1 | 17,410.66                    | 22,162,657               | 6,545,827                    |
|      | Q2 | 30,404.09                    | 31,431,575               | 7,635,003                    |
|      | Q3 | 22,706.73                    | 23,674,156               | 6,679,004                    |
|      | Q4 | 9,781.44                     | 15,195,091               | 4,827,678                    |
| 2016 | Q1 | 11,846.68                    | 17,289,771               | 5,368,449                    |

# DERIVATIVES MARKET – FUTURES AND OPTIONS

## Stock Options Premium by Class

for 1st Quarter 2016

| Options class   |     | Premium<br>(HK\$ mil.) | % of total |
|-----------------|-----|------------------------|------------|
| X ISHARES A50   | A50 | 843.40                 | 7.12%      |
| ANHUI CONCH     | ACC | 79.43                  | 0.67%      |
| AIA             | AIA | 574.05                 | 4.85%      |
| CHALCO          | ALC | 8.40                   | 0.07%      |
| CAM CSI300      | AMC | 297.24                 | 2.51%      |
| BANKCOMM        | BCM | 37.51                  | 0.32%      |
| BANK OF E ASIA  | BEA | 11.10                  | 0.09%      |
| BELLE INT'L     | BIH | 13.26                  | 0.11%      |
| BOC HONG KONG   | BOC | 85.92                  | 0.73%      |
| BYD COMPANY     | BYD | 21.42                  | 0.18%      |
| CHINA COMM CONS | CCC | 59.89                  | 0.51%      |
| CHINA COAL      | CCE | 3.72                   | 0.03%      |
| CHINA COSCO     | CCS | 1.10                   | 0.01%      |
| CHINA CINDA     | CDA | 5.26                   | 0.04%      |
| CGN POWER       | CGN | 4.21                   | 0.04%      |
| CHINA MOBILE    | CHT | 464.94                 | 3.92%      |
| CHINA UNICOM    | CHU | 103.13                 | 0.87%      |
| CITIC           | CIT | 42.69                  | 0.36%      |
| CKH HOLDINGS    | CKH | 221.87                 | 1.87%      |
| CK PROPERTY     | CKP | 24.40                  | 0.21%      |
| CHINA LIFE      | CLI | 810.15                 | 6.84%      |
| CLP HOLDINGS    | CLP | 20.80                  | 0.18%      |
| CM BANK         | CMB | 115.98                 | 0.98%      |
| CNOOC           | CNC | 208.35                 | 1.76%      |
| CHINA OVERSEAS  | COL | 306.37                 | 2.59%      |
| CATHAY PAC AIR  | CPA | 1.03                   | 0.01%      |
| SINOPEC CORP    | CPC | 125.46                 | 1.06%      |
| CPIC            | CPI | 79.31                  | 0.67%      |
| CHINA RAIL CONS | CRC | 6.06                   | 0.05%      |
| CHINA RAILWAY   | CRG | 7.09                   | 0.06%      |
| CHINA RES LAND  | CRL | 35.35                  | 0.30%      |
| X WISECSI300ETF | CS3 | 0.09                   | 0.00%      |
| CSOP A50 ETF    | CSA | 1,040.58               | 8.78%      |
| CHINA SHENHUA   | CSE | 48.86                  | 0.41%      |
| CITIC BANK      | CTB | 30.74                  | 0.26%      |
| CHINA TELECOM   | CTC | 21.70                  | 0.18%      |
| CITIC SEC       | CTS | 35.14                  | 0.30%      |
| DONGFENG GROUP  | DFM | 4.19                   | 0.04%      |
| ESPRIT HOLDINGS | ESP | 0.30                   | 0.00%      |
| FIH             | FIH | 0.35                   | 0.00%      |
| GALAXY ENT      | GLX | 263.86                 | 2.23%      |
| GREATWALL MOTOR | GWM | 37.00                  | 0.31%      |
| HAITONG SEC     | HAI | 74.92                  | 0.63%      |
| HS H-SHARE ETF  | HCF | 18.25                  | 0.15%      |
| POWER ASSETS    | HEH | 34.25                  | 0.29%      |
| HKEX            | HEX | 1,096.09               | 9.25%      |
| HENGAN INT'L    | HGN | 11.38                  | 0.10%      |
| HSBC HOLDINGS   | HKB | 745.31                 | 6.29%      |
| HK & CHINA GAS  | HKG | 15.89                  | 0.13%      |
| HENDERSON LAND  | HLD | 58.58                  | 0.49%      |
| HUANENG POWER   | HNP | 17.04                  | 0.14%      |
| HANG SENG BANK  | HSB | 104.27                 | 0.88%      |
| JIANGXI COPPER  | JXC | 18.31                  | 0.15%      |
| KUNLUN ENERGY   | KLE | 21.99                  | 0.19%      |
| KINGSOFT        | KSO | 17.26                  | 0.15%      |
| LENOVO GROUP    | LEN | 76.99                  | 0.65%      |
| LI & FUNG       | LIF | 16.74                  | 0.14%      |
| MENGNUI DAIRY   | MEN | 4.26                   | 0.04%      |

## DERIVATIVES MARKET – FUTURES AND OPTIONS

| Options class   |     | Premium<br>(HK\$ mil.) | % of total     |
|-----------------|-----|------------------------|----------------|
| MGM CHINA       | MGM | 1.92                   | 0.02%          |
| MINSHENG BANK   | MSB | 25.45                  | 0.21%          |
| MTR CORPORATION | MTR | 13.09                  | 0.11%          |
| CNBM            | NBM | 27.04                  | 0.23%          |
| NCI             | NCL | 6.25                   | 0.05%          |
| NEW WORLD DEV   | NWD | 14.26                  | 0.12%          |
| PING AN         | PAI | 904.90                 | 7.64%          |
| PETROCHINA      | PEC | 185.67                 | 1.57%          |
| PICC P&C        | PIC | 29.61                  | 0.25%          |
| PICC GROUP      | PIN | 5.23                   | 0.04%          |
| GCL-POLY ENERGY | PLE | 1.29                   | 0.01%          |
| R&F PROPERTIES  | RFP | 1.61                   | 0.01%          |
| SANDS CHINA LTD | SAN | 165.86                 | 1.40%          |
| SHK PPT         | SHK | 430.24                 | 3.63%          |
| STANCHART       | STC | 16.86                  | 0.14%          |
| SWIRE PACIFIC A | SWA | 29.87                  | 0.25%          |
| TENCENT         | TCH | 787.86                 | 6.65%          |
| TRACKER FUND    | TRF | 15.88                  | 0.13%          |
| WHARF HOLDINGS  | WHL | 58.56                  | 0.49%          |
| WANT WANT CHINA | WWC | 4.77                   | 0.04%          |
| ABC             | XAB | 115.20                 | 0.97%          |
| BANK OF CHINA   | XBC | 163.36                 | 1.38%          |
| CCB             | XCC | 242.29                 | 2.05%          |
| ICBC            | XIC | 147.79                 | 1.25%          |
| YANZHOU COAL    | YZC | 14.54                  | 0.12%          |
| ZIJIN MINING    | ZJM | 4.06                   | 0.03%          |
| <b>Total</b>    |     | <b>11,846.68</b>       | <b>100.00%</b> |

# DERIVATIVES MARKET – FUTURES AND OPTIONS

## Stock Options Contract Volume by Class

for 1st Quarter 2016

| Options class   |     | Contract volume | % of total |
|-----------------|-----|-----------------|------------|
| X ISHARES A50   | A50 | 479,736         | 2.77%      |
| ANHUI CONCH     | ACC | 108,816         | 0.63%      |
| AIA             | AIA | 449,404         | 2.60%      |
| CHALCO          | ALC | 23,818          | 0.14%      |
| CAM CSI300      | AMC | 109,247         | 0.63%      |
| BANKCOMM        | BCM | 98,978          | 0.57%      |
| BANK OF E ASIA  | BEA | 60,627          | 0.35%      |
| BELLE INT'L     | BIH | 35,786          | 0.21%      |
| BOC HONG KONG   | BOC | 186,540         | 1.08%      |
| BYD COMPANY     | BYD | 17,111          | 0.10%      |
| CHINA COMM CONS | CCC | 143,080         | 0.83%      |
| CHINA COAL      | CCE | 19,078          | 0.11%      |
| CHINA COSCO     | CCS | 3,349           | 0.02%      |
| CHINA CINDA     | CDA | 8,685           | 0.05%      |
| CGN POWER       | CGN | 4,658           | 0.03%      |
| CHINA MOBILE    | CHT | 453,678         | 2.62%      |
| CHINA UNICOM    | CHU | 136,716         | 0.79%      |
| CITIC           | CIT | 68,573          | 0.40%      |
| CKH HOLDINGS    | CKH | 185,332         | 1.07%      |
| CK PROPERTY     | CKP | 13,242          | 0.08%      |
| CHINA LIFE      | CLI | 666,056         | 3.85%      |
| CLP HOLDINGS    | CLP | 41,488          | 0.24%      |
| CM BANK         | CMB | 240,312         | 1.39%      |
| CNOOC           | CNC | 519,526         | 3.00%      |
| CHINA OVERSEAS  | COL | 178,044         | 1.03%      |
| CATHAY PAC AIR  | CPA | 3,053           | 0.02%      |
| SINOPEC CORP    | CPC | 221,935         | 1.28%      |
| CPIC            | CPI | 71,380          | 0.41%      |
| CHINA RAIL CONS | CRC | 15,448          | 0.09%      |
| CHINA RAILWAY   | CRG | 16,756          | 0.10%      |
| CHINA RES LAND  | CRL | 17,242          | 0.10%      |
| X WISECSI300ETF | CS3 | 142             | 0.00%      |
| CSOP A50 ETF    | CSA | 519,029         | 3.00%      |
| CHINA SHENHUA   | CSE | 142,817         | 0.83%      |
| CITIC BANK      | CTB | 120,195         | 0.70%      |
| CHINA TELECOM   | CTC | 58,391          | 0.34%      |
| CITIC SEC       | CTS | 41,807          | 0.24%      |
| DONGFENG GROUP  | DFM | 5,419           | 0.03%      |
| ESPRIT HOLDINGS | ESP | 7,483           | 0.04%      |
| FIH             | FIH | 994             | 0.01%      |
| GALAXY ENT      | GLX | 312,694         | 1.81%      |
| GREATWALL MOTOR | GWM | 147,389         | 0.85%      |
| HAITONG SEC     | HAI | 43,999          | 0.25%      |
| HS H-SHARE ETF  | HCF | 11,874          | 0.07%      |
| POWER ASSETS    | HEH | 49,422          | 0.29%      |
| HKEX            | HEX | 2,006,774       | 11.61%     |
| HENGAN INT'L    | HGN | 12,872          | 0.07%      |
| HSBC HOLDINGS   | HKB | 821,284         | 4.75%      |
| HK & CHINA GAS  | HKG | 32,819          | 0.19%      |
| HENDERSON LAND  | HLD | 42,935          | 0.25%      |
| HUANENG POWER   | HNP | 24,632          | 0.14%      |
| HANG SENG BANK  | HSB | 225,417         | 1.30%      |
| JIANGXI COPPER  | JXC | 40,291          | 0.23%      |
| KUNLUN ENERGY   | KLE | 30,603          | 0.18%      |
| KINGSOFT        | KSO | 25,320          | 0.15%      |
| LENOVO GROUP    | LEN | 156,803         | 0.91%      |
| LI & FUNG       | LIF | 23,608          | 0.14%      |
| MENGIU DAIRY    | MEN | 9,963           | 0.06%      |

## DERIVATIVES MARKET – FUTURES AND OPTIONS

| Options class   |     | Contract volume   | % of total     |
|-----------------|-----|-------------------|----------------|
| MGM CHINA       | MGM | 5,363             | 0.03%          |
| MINSHENG BANK   | MSB | 45,129            | 0.26%          |
| MTR CORPORATION | MTR | 36,452            | 0.21%          |
| CNBM            | NBM | 33,069            | 0.19%          |
| NCI             | NCL | 5,949             | 0.03%          |
| NEW WORLD DEV   | NWD | 30,269            | 0.18%          |
| PING AN         | PAI | 1,202,359         | 6.95%          |
| PETROCHINA      | PEC | 313,474           | 1.81%          |
| PICC P&C        | PIC | 34,317            | 0.20%          |
| PICC GROUP      | PIN | 5,324             | 0.03%          |
| GCL-POLY ENERGY | PLE | 3,415             | 0.02%          |
| R&F PROPERTIES  | RFP | 8,831             | 0.05%          |
| SANDS CHINA LTD | SAN | 357,336           | 2.07%          |
| SHK PPT         | SHK | 170,884           | 0.99%          |
| STANCHART       | STC | 118,321           | 0.68%          |
| SWIRE PACIFIC A | SWA | 33,822            | 0.20%          |
| TENCENT         | TCH | 2,184,944         | 12.64%         |
| TRACKER FUND    | TRF | 48,997            | 0.28%          |
| WHARF HOLDINGS  | WHL | 42,351            | 0.24%          |
| WANT WANT CHINA | WWC | 14,160            | 0.08%          |
| ABC             | XAB | 95,283            | 0.55%          |
| BANK OF CHINA   | XBC | 983,874           | 5.69%          |
| CCB             | XCC | 1,113,253         | 6.44%          |
| ICBC            | XIC | 846,178           | 4.89%          |
| YANZHOU COAL    | YZC | 28,878            | 0.17%          |
| ZIJIN MINING    | ZJM | 14,869            | 0.09%          |
| <b>Total</b>    |     | <b>17,289,771</b> | <b>100.00%</b> |



## CLEARING & SETTLEMENT

### Average Daily Settlement Instructions (SIs) Settled in CCASS

(both delivering and receiving SIs are counted)

| Year/Month |    | Number of SIs | SIs by shares<br>(bil. shs) | SIs by value<br>(HK\$bil.) |
|------------|----|---------------|-----------------------------|----------------------------|
| 2015       | Q1 | 90,242        | 44.99                       | 209.79                     |
|            | Q2 | 122,363       | 72.45                       | 372.55                     |
|            | Q3 | 101,225       | 58.26                       | 243.97                     |
|            | Q4 | 89,652        | 47.71                       | 188.39                     |
| 2016       | Q1 | 85,208        | 47.09                       | 170.11                     |

### Average Daily Investor Settlement Instructions (ISIs) settled in CCASS

(one sided ISIs are counted)

| Year/month |    | Number of ISIs | ISIs by shares (Mil shs) | ISIs by value (HK\$ mil.) |
|------------|----|----------------|--------------------------|---------------------------|
| 2015       | Q1 | 401            | 49.48                    | 165.36                    |
|            | Q2 | 716            | 231.32                   | 289.16                    |
|            | Q3 | 390            | 193.07                   | 220.27                    |
|            | Q4 | 267            | 61.49                    | 101.52                    |
| 2016       | Q1 | 249            | 129.91                   | 89.17                     |

### Securities under CCASS Custody

(balances at quarter end)

| Year/Month |    | Number of<br>shares<br>(bil. shs) | % of issued<br>shares of<br>admitted<br>securities | Market value<br>(HK\$ bil.) | % of market<br>capitalisation of<br>admitted<br>securities |
|------------|----|-----------------------------------|--|-----------------------------|--|
| 2015       | Q1 | 4,489.32                          | 71.67  | 15,975.62                   | 54.46  |
|            | Q2 | 4,952.17                          | 73.78  | 17,891.63                   | 57.24  |
|            | Q3 | 5,397.98                          | 74.44  | 14,074.11                   | 56.13  |
|            | Q4 | 5,467.21                          | 74.50  | 15,071.15                   | 56.58  |
| 2016       | Q1 | 5,558.03                          | 74.67  | 14,395.88                   | 56.61  |

Share quantity and market value of securities in non-HKD currency are included

## CLEARING & SETTLEMENT

### Average Daily Stock Exchange Trades Processed in CCASS

(including CNS trades, isolated trades and cross trades)

| Year/Month |    | No. of CCASS trades | % of Exchange trades | No. of shares (Mil. shs) | % of market turnover | Value of trades (HK\$ mil.) | % of market turnover |
|------------|----|---------------------|----------------------|--------------------------|----------------------|-----------------------------|----------------------|
| 2015       | Q1 | 1,182,398           | 100                  | 187,686.03               | 100                  | 85,005.00                   | 100                  |
|            | Q2 | 1,864,260           | 100                  | 242,342.57               | 100                  | 158,049.69                  | 100                  |
|            | Q3 | 1,449,054           | 100                  | 226,605.64               | 100                  | 98,705.62                   | 100                  |
|            | Q4 | 1,106,299           | 100                  | 210,829.38               | 100                  | 70,729.28                   | 100                  |
| 2016       | Q1 | 1,196,563           | 100                  | 221,073.88               | 100                  | 72,576.98                   | 100                  |

### Average Daily Netting Efficiency of CNS Trades

(in stock positions and share quantity)

| Year/Month |    | No. of CNS stock positions | Netting efficiency (%) | No. of shares due for settlement (Mil. shs) | Netting efficiency (%) |
|------------|----|----------------------------|------------------------|---|------------------------|
| 2015       | Q1 | 78,902                     | 96.40                  | 24,508.05                                   | 93.29                  |
|            | Q2 | 119,864                    | 96.54                  | 51,102.24                                   | 88.81                  |
|            | Q3 | 85,219                     | 96.81                  | 30,285.88                                   | 93.26                  |
|            | Q4 | 72,118                     | 96.46                  | 24,746.99                                   | 93.92                  |
| 2016       | Q1 | 69,511                     | 96.91                  | 24,993.76                                   | 94.24                  |

### Average Daily Settlement Efficiency of CNS Stock Positions

| Year/Month |    | Settlement efficiency (%) |           |
|------------|----|---------------------------|-----------|
|            |    | S day                     | S + 1 day |
| 2015       | Q1 | 99.93                     | 99.99     |
|            | Q2 | 99.96                     | 99.99     |
|            | Q3 | 99.93                     | 99.99     |
|            | Q4 | 99.92                     | 99.99     |
| 2016       | Q1 | 99.93                     | 99.99     |

# CLEARING & SETTLEMENT

## Open Interest by Derivatives Products

| Derivatives product                                | Contracts        |                  |
|--|------------------|------------------|
|  | 1st Quarter 2016 | 1st Quarter 2015 |
| Hang Seng Index Futures                            | 105,887          | 115,396          |
| Hang Seng Index Options                            | 243,225          | 203,839          |
| Mini-Hang Seng Index Futures                       | 9,138            | 7,247            |
| Mini-Hang Seng Index Options                       | 9,008            | 6,804            |
| H-shares Index Futures                             | 357,894          | 303,145          |
| H-shares Index Options                             | 2,214,952        | 1,093,784        |
| Mini H-shares Index Futures                        | 5,122            | 6,114            |
| Flexible Hang Seng Index Options                   | 2,975            | 100              |
| Flexible H-shares Index Options                    | 20,731           | 31,315           |
| HSI Dividend Point Index Futures                   | 5,875            | 5,000            |
| HSCEI Dividend Point Index Futures                 | 160,528          | 53,502           |
| HSI Volatility Index Futures                       | 3                | 11               |
| CES China 120 Index Futures                        | 9                | 70               |
| IBOVESPA Futures                                   | 0                | 0                |
| MICEX Index Futures                                | 0                | 0                |
| S&P BSE Sensex Index Futures                       | 0                | 0                |
| FTSE/JSE Top40 Futures                             | 0                | 0                |
| Stock Futures                                      | 7,121            | 17,347           |
| Stock Options                                      | 5,368,449        | 6,545,827        |
| Three-month HIBOR Futures                          | 0                | 35               |
| One-month HIBOR Futures                            | 0                | 0                |
| Three-year Exchange Fund Note Futures <sup>1</sup> | -                | 0                |
| RMB Currency Futures – USD/CNH Futures             | 28,215           | 12,949           |
| Gold Futures <sup>2</sup>                          | -                | 0                |
| London Aluminium Mini Futures                      | 33               | 171              |
| London Zinc Mini Futures                           | 136              | 162              |
| London Copper Mini Futures                         | 42               | 243              |
| London Lead Mini Futures <sup>3</sup>              | 0                | -                |
| London Nickel Mini Futures <sup>4</sup>            | 6                | -                |
| London Tin Mini Futures <sup>5</sup>               | 6                | -                |
| <b>Total</b>                                       | <b>8,539,355</b> | <b>8,403,061</b> |

<sup>1</sup> Trading in 3-Year Exchange Fund Note Futures suspended with effect from 14 Sep 2015

<sup>2</sup> Trading in Gold Futures suspended with effect from 27 May 2015

<sup>3</sup> Trading in London Lead Mini Futures commenced on 14 Dec 2015

<sup>4</sup> Trading in London Nickel Mini Futures commenced on 14 Dec 2015

<sup>5</sup> Trading in London Tin Mini Futures commenced on 14 Dec 2015

# CLEARING & SETTLEMENT

## Stock Options Open Interest by Class

as at the end of 1st Quarter 2016

| Options class   |     | Open interest<br>(contracts) | % of total |
|-----------------|-----|------------------------------|------------|
| X ISHARES A50   | A50 | 119,007                      | 2.22       |
| ANHUI CONCH     | ACC | 35,760                       | 0.67       |
| AIA             | AIA | 84,614                       | 1.58       |
| CHALCO          | ALC | 8,366                        | 0.16       |
| CAM CSI300      | AMC | 14,096                       | 0.26       |
| BANKCOMM        | BCM | 48,654                       | 0.91       |
| BANK OF E ASIA  | BEA | 12,425                       | 0.23       |
| BELLE INT'L     | BIH | 12,048                       | 0.22       |
| BOC HONG KONG   | BOC | 49,975                       | 0.93       |
| BYD COMPANY     | BYD | 6,264                        | 0.12       |
| CHINA COMM CONS | CCC | 32,053                       | 0.60       |
| CHINA COAL      | CCE | 8,540                        | 0.16       |
| CHINA COSCO     | CCS | 3,751                        | 0.07       |
| CHINA CINDA     | CDA | 4,430                        | 0.08       |
| CGN POWER       | CGN | 1,689                        | 0.03       |
| CHINA MOBILE    | CHT | 75,681                       | 1.41       |
| CHINA UNICOM    | CHU | 52,176                       | 0.97       |
| CITIC           | CIT | 22,904                       | 0.43       |
| CKH HOLDINGS    | CKH | 42,943                       | 0.80       |
| CK PROPERTY     | CKP | 4,608                        | 0.09       |
| CHINA LIFE      | CLI | 160,496                      | 2.99       |
| CLP HOLDINGS    | CLP | 7,990                        | 0.15       |
| CM BANK         | CMB | 100,053                      | 1.86       |
| CNOOC           | CNC | 180,336                      | 3.36       |
| CHINA OVERSEAS  | COL | 41,970                       | 0.78       |
| CATHAY PAC AIR  | CPA | 653                          | 0.01       |
| SINOPEC CORP    | CPC | 96,996                       | 1.81       |
| CPIC            | CPI | 15,966                       | 0.30       |
| CHINA RAIL CONS | CRC | 5,651                        | 0.11       |
| CHINA RAILWAY   | CRG | 5,154                        | 0.10       |
| CHINA RES LAND  | CRL | 6,437                        | 0.12       |
| X WISECSI300ETF | CS3 | 74                           | 0.00       |
| CSOP A50 ETF    | CSA | 87,907                       | 1.64       |
| CHINA SHENHUA   | CSE | 67,891                       | 1.26       |
| CITIC BANK      | CTB | 101,764                      | 1.90       |
| CHINA TELECOM   | CTC | 38,244                       | 0.71       |
| CITIC SEC       | CTS | 17,881                       | 0.33       |
| DONGFENG GROUP  | DFM | 1,412                        | 0.03       |
| ESPRIT HOLDINGS | ESP | 4,684                        | 0.09       |
| FIH             | FIH | 734                          | 0.01       |
| GALAXY ENT      | GLX | 52,904                       | 0.99       |
| GREATWALL MOTOR | GWM | 56,410                       | 1.05       |
| HAITONG SEC     | HAI | 25,607                       | 0.48       |

## CLEARING & SETTLEMENT

| Options class   |     | Open interest<br>(contracts) | % of total    |
|-----------------|-----|------------------------------|---------------|
| HS H-SHARE ETF  | HCF | 2,877                        | 0.05          |
| POWER ASSETS    | HEH | 8,102                        | 0.15          |
| HKEX            | HEX | 373,301                      | 6.95          |
| HENGAN INT'L    | HGN | 3,403                        | 0.06          |
| HSBC HOLDINGS   | HKB | 270,018                      | 5.03          |
| HK & CHINA GAS  | HKG | 6,524                        | 0.12          |
| HENDERSON LAND  | HLD | 8,363                        | 0.16          |
| HUANENG POWER   | HNP | 7,688                        | 0.14          |
| HANG SENG BANK  | HSB | 67,358                       | 1.25          |
| JIANGXI COPPER  | JXC | 14,442                       | 0.27          |
| KUNLUN ENERGY   | KLE | 6,112                        | 0.11          |
| KINGSOFT        | KSO | 6,128                        | 0.11          |
| LENOVO GROUP    | LEN | 43,134                       | 0.80          |
| LI & FUNG       | LIF | 5,532                        | 0.10          |
| MENGNIU DAIRY   | MEN | 2,532                        | 0.05          |
| MGM CHINA       | MGM | 1,744                        | 0.03          |
| MINSHENG BANK   | MSB | 13,568                       | 0.25          |
| MTR CORPORATION | MTR | 4,988                        | 0.09          |
| CNBM            | NBM | 13,689                       | 0.25          |
| NCI             | NCL | 7,309                        | 0.14          |
| NEW WORLD DEV   | NWD | 7,846                        | 0.15          |
| PING AN         | PAI | 376,385                      | 7.01          |
| PETROCHINA      | PEC | 105,007                      | 1.96          |
| PICC P&C        | PIC | 7,847                        | 0.15          |
| PICC GROUP      | PIN | 2,511                        | 0.05          |
| GCL-POLY ENERGY | PLE | 976                          | 0.02          |
| R&F PROPERTIES  | RFP | 3,920                        | 0.07          |
| SANDS CHINA LTD | SAN | 97,104                       | 1.81          |
| SHK PPT         | SHK | 31,302                       | 0.58          |
| STANCHART       | STC | 24,655                       | 0.46          |
| SWIRE PACIFIC A | SWA | 10,471                       | 0.20          |
| TENCENT         | TCH | 483,770                      | 9.01          |
| TRACKER FUND    | TRF | 15,003                       | 0.28          |
| WHARF HOLDINGS  | WHL | 10,102                       | 0.19          |
| WANT WANT CHINA | WWC | 5,128                        | 0.10          |
| ABC             | XAB | 51,330                       | 0.96          |
| BANK OF CHINA   | XBC | 636,935                      | 11.86         |
| CCB             | XCC | 471,459                      | 8.78          |
| ICBC            | XIC | 428,098                      | 7.97          |
| YANZHOU COAL    | YZC | 8,893                        | 0.17          |
| ZIJIN MINING    | ZJM | 5,697                        | 0.11          |
| <b>Total</b>    |     | <b>5,368,449</b>             | <b>100.00</b> |

# EXCHANGE PARTICIPANTS STATISTICS

## Stock Exchange

|      |    | No. of Trading<br>Right Holders | Exchange<br>Participants –<br>Trading | Exchange<br>Participants –<br>Non-Trading | Non-Exchange<br>Participants |
|------|----|---------------------------------|---------------------------------------|---|------------------------------|
| 2015 | Q1 | 553 (962)                       | 500 (902)                             | 36 (43)                                   | 17 (17)                      |
|      | Q2 | 553 (962)                       | 500 (900)                             | 37 (46)                                   | 16 (16)                      |
|      | Q3 | 556 (965)                       | 505 (905)                             | 35 (44)                                   | 16 (16)                      |
|      | Q4 | 566 (975)                       | 515 (915)                             | 35 (44)                                   | 16 (16)                      |
| 2016 | Q1 | 575 (981)                       | 526 (925)                             | 33 (40)                                   | 16 (16)                      |

( ) No. of trading rights

## Futures Exchange

|      |    | No. of Trading<br>Right Holders | Exchange<br>Participants –<br>Trading | Exchange<br>Participants –<br>Non-Trading | Non-Exchange<br>Participants |
|------|----|---------------------------------|---------------------------------------|---|------------------------------|
| 2015 | Q1 | 231 (255)                       | 179 (201)                             | –   | 52 (54)                      |
|      | Q2 | 230 (254)                       | 177 (199)                             | –   | 53 (55)                      |
|      | Q3 | 230 (254)                       | 177 (199)                             | –   | 53 (55)                      |
|      | Q4 | 232 (256)                       | 179 (201)                             | –   | 53 (55)                      |
| 2016 | Q1 | 230 (253)                       | 177 (198)                             | –   | 53 (55)                      |

Notes:

- (1) The figures in bracket is the number of trading rights held.
- (2) An Exchange Participant is a corporation who may trade on or through the Exchange and is licensed under the Securities and Futures Ordinance to carry on securities/futures/options dealing activity.

# CLEARING PARTICIPANTS STATISTICS

## HKCC Participants

| Year/month |    | Clearing Participants | General Clearing Participants |
|------------|----|-----------------------|-------------------------------|
| 2015       | Q1 | 152                   | 9                             |
|            | Q2 | 150                   | 9                             |
|            | Q3 | 149                   | 9                             |
|            | Q4 | 151                   | 9                             |
| 2016       | Q1 | 148                   | 10                            |

## SEOCH Participants

| Year/month |    | Direct Clearing Participants | General Clearing Participants |
|------------|----|------------------------------|-------------------------------|
| 2015       | Q1 | 66                           | 9                             |
|            | Q2 | 68                           | 9                             |
|            | Q3 | 67                           | 9                             |
|            | Q4 | 69                           | 9                             |
| 2016       | Q1 | 66                           | 10                            |

## HKSCC Participants

| Year/month |    | Direct Clearing Participant | General Clearing Participant | Non-broker Participants * |
|------------|----|-----------------------------|------------------------------|---------------------------|
| 2015       | Q1 | 477                         | 10                           | 42                        |
|            | Q2 | 478                         | 10                           | 42                        |
|            | Q3 | 482                         | 10                           | 43                        |
|            | Q4 | 492                         | 10                           | 43                        |
| 2016       | Q1 | 503                         | 9                            | 43                        |

\* Non-broker participants include Clearing Agency Participants, Custodian Participants and Stock Pledgee Participants.

# ACRONYMS

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|           |  |
|-----------|--|
| CBBC      | Callable Bull/Bear Contract                                    |
| CCASS     | Central Clearing and Settlement System                         |
| CNS       | Continuous Net Settlement                                      |
| DCASS     | Derivatives Clearing and Settlement System                     |
| DR        | Depository Receipt   |
| DW        | Derivative Warrant   |
| ELI       | Equity Linked Instrument                                       |
| ETF       | Exchange Traded Fund   |
| GEM       | Growth Enterprise Market                                       |
| HIBOR     | Hong Kong Interbank Offered Rate                               |
| HKCC      | HKFE Clearing Corporation Ltd                                  |
| HKEX      | Hong Kong Exchanges and Clearing Ltd                           |
| HKSCC     | Hong Kong Securities Clearing Co Ltd                           |
| HSICS     | Hang Seng Industry Classification System                       |
| ISI       | Investor settlement instruction                                |
| NASDAQ    | National Association of Securities Dealer Automated Quotations |
| P/E ratio | Price/earnings ratio   |
| REITs     | Real Estate Investment Trusts                                  |
| RQFII     | RMB Qualified Foreign Institutional Investors                  |
| S&P       | Standard and Poors   |
| SEOCH     | SEHK Options Clearing House Ltd, The                           |
| SI        | Settlement instruction   |
| SS        | Stapled securities   |