

# 證券及衍生產品市場 季報

---

## 2009年第二季

# 市場概況

## 主板

| 概況             | 2009 年第 2 季        | 2008 年第 2 季        |
|----------------|--------------------|--------------------|
| 上市公司數目         | 1,103              | 1,065              |
| 上市證券數目         | 5,688              | 6,362              |
| 股份             |                    |                    |
| 普通股            | 1,104              | 1,066              |
| 優先股            | 2                  | 2                  |
| 認股權證           | 2,756              | 4,634              |
| 股份             | 30                 | 35                 |
| 衍生             | 2,726              | 4,599              |
| 股票掛鈎票據         | 0                  | 0                  |
| 牛熊證            | 1,620              | 453                |
| 單位信託及互惠基金      | 39                 | 32                 |
| 債券             | 167                | 175                |
| 非上市可交易股份數目     |                    |                    |
| Nasdaq 股份      | 7                  | 7                  |
| iShares        | 2                  | 2                  |
| 交易日數           | 61                 | 61                 |
| 總成交金額(百萬港元)    | 4,353,187.76       | 4,623,402.28       |
| 總成交股數(百萬股)     | 6,564,752.44       | 7,071,196.65       |
| 總成交宗數(宗數)      | 48,922,983         | 32,471,499         |
| 上市公司市價總值(百萬港元) | 14,074,574.48      | 16,246,996.96      |
| 平均市盈率(倍)       | 13.42              | 11.98              |
| 平均週息率(百分率)     | 3.41               | 2.95               |
| 交易所參與者數目       |                    |                    |
| 開業             | 458                | 448                |
| 非開業            | 36                 | 35                 |
| 成交金額(百萬港元)     |                    |                    |
| 最高             | 146,624.25 (13/05) | 130,257.77 (24/04) |
| 最低             | 50,040.00 (29/06)  | 48,264.76 (17/06)  |
| 成交股數(百萬股)      |                    |                    |
| 最高             | 135,137.34 (13/05) | 153,755.52 (07/05) |
| 最低             | 76,179.35 (26/06)  | 78,552.11 (27/06)  |
| 總成交宗數(宗數)      |                    |                    |
| 最高             | 1,131,338 (02/06)  | 860,391 (24/06)    |
| 最低             | 589,405 (29/06)    | 356,184 (17/06)    |

# 市場概況

## 創業板

| 概況             | 2009 年第 2 季      | 2008 年第 2 季      |
|----------------|------------------|------------------|
| 上市公司數目         | 170              | 189              |
| 上市證券數目         | 171              | 193              |
| 股份             | 170              | 189              |
| 認股權證           | 1                | 4                |
| 交易日數           | 61               | 61               |
| 總成交金額(百萬港元)    | 19,561.73        | 17,444.04        |
| 總成交股數(百萬股)     | 116,455.92       | 53,834.84        |
| 總成交宗數(宗數)      | 650,615          | 476,098          |
| 上市公司市價總值(百萬港元) | 73,004.28        | 109,043.78       |
| 平均市盈率(倍)       | 34.03            | 15.61            |
| 平均週息率(百分率)     | 1.20             | 1.28             |
| 成交金額(百萬港元)     |                  |                  |
| 最高             | 766.33 (22/05)   | 540.50 (06/05)   |
| 最低             | 99.88 (23/04)    | 133.46 (26/06)   |
| 成交股數(百萬股)      |                  |                  |
| 最高             | 5,878.05 (30/06) | 2,496.76 (07/04) |
| 最低             | 665.87 (23/04)   | 411.69 (17/06)   |
| 總成交宗數(宗數)      |                  |                  |
| 最高             | 22,878 (22/05)   | 15,415 (06/05)   |
| 最低             | 3,504 (23/04)    | 3,998 (23/06)    |

# 市場概況

## 衍生產品市場

| 概況                       | 2009年第2季          | 2008年第2季          |
|--------------------------|-------------------|-------------------|
| <b>所有期貨及期權產品(股票期權除外)</b> |                   |                   |
| 交易日數                     | 61.0              | 60.5              |
| 總合約成交量                   | <b>14,119,315</b> | <b>10,693,230</b> |
| 股市指數產品                   | 14,047,654        | 10,640,183        |
| 股票產品                     | 69,549            | 46,301            |
| 利率產品                     | 994               | 6,746             |
| 黃金期貨                     | 1,118             | —                 |
| 平均每日合約成交量                | <b>231,464</b>    | <b>176,748</b>    |
| 季末未平倉合約                  | <b>474,313</b>    | <b>363,654</b>    |
| 股市指數產品                   | 458,906           | 354,975           |
| 股票產品                     | 14,806            | 6,864             |
| 利率產品                     | 585               | 1,815             |
| 黃金期貨                     | 16                | —                 |
| <b>股票期權</b>              |                   |                   |
| 新開辦期權類別                  | —                 | 3                 |
| 股票期權數目(於季末數目)            |                   |                   |
| 類別                       | 48                | 50                |
| 系列                       | 7,250             | 6,058             |
| 期權金總額(百萬港元)              | 20,116.61         | 26,994.75         |
| 認購                       | 10,287.87         | 10,514.95         |
| 認沽                       | 9,828.74          | 16,479.79         |
| 平均每日期權金總額(百萬港元)          | 329.78            | 446.19            |
| 總合約成交量                   | <b>13,279,436</b> | <b>12,837,557</b> |
| 認購                       | 6,254,541         | 6,055,654         |
| 認沽                       | 7,024,895         | 6,781,903         |
| 平均每日合約成交量                | 217,696           | 212,191           |
| 季末未平倉合約                  | <b>3,847,782</b>  | <b>4,775,250</b>  |
| 認購                       | 1,380,387         | 1,941,554         |
| 認沽                       | 2,467,395         | 2,833,696         |
| 總成交宗數                    | 440,987           | 293,049           |
| 平均每日成交宗數                 | 7,229             | 4,844             |
| 已行使合約總數                  | 2,193,993         | 2,166,917         |
| 每張合約平均期權金(港元)            | 1,515             | 2,103             |
| 每宗交易平均合約數目               | 30                | 44                |
| 認沽數量／認購數量                | 1.12              | 1.12              |
| 平均每日合約成交量／未平倉合約          | 5.7%              | 4.4%              |
| <b>所有期貨及期權產品</b>         |                   |                   |
| 總合約成交量                   | <b>27,398,751</b> | <b>23,530,787</b> |
| 季末未平倉合約                  | <b>4,322,095</b>  | <b>5,138,904</b>  |

# 市場概況

## 結算及交收

| 中央結算系統營運資料                                 | 2009年第2季  | 2008年第2季     |
|--------------------------------------------|-----------|--------------|
| 經中央結算系統處理之聯交所交易(每日平均數)                     |           |              |
| – 交易宗數                                     | 811,938   | 540,113      |
| – 交易金額(十億港元)                               | 71.7      | 76.1         |
| – 涉及股數(十億股)                                | 109.5     | 116.8        |
| 經中央結算系統處理的交收指示(每日平均數)                      |           |              |
| – 交收指示數目                                   | 74,476    | 62,653       |
| – 交收指示涉及金額(十億港元)                           | 188.2     | 206.9        |
| – 涉及股數(十億股)                                | 46.4      | 50.9         |
| 經中央結算系統處理的投資者交收指示(每日平均數)                   |           |              |
| – 交收指示數目                                   | 609       | 500          |
| – 交收指示涉及金額(百萬港元)                           | 197.8     | 231.2        |
| – 涉及股數(百萬股)                                | 125.2     | 89.1         |
| 以「持續淨額交收」的股份數額於到期交收日(T+2)<br>的交收效率(每日平均數)  | 99.84     | 99.84        |
| 以「持續淨額交收」的股份數額於到期交收翌日(T+3)<br>的交收效率(每日平均數) | 99.99     | 99.99        |
| 在T+3日進行補購(每日平均數)                           |           |              |
| – 涉及經紀數目                                   | 10        | 8            |
| – 補購宗數                                     | 12        | 9            |
| – 補購涉及金額(百萬港元)                             | 4.6       | 5.2          |
| 存放於中央結算系統證券存管處的股份                          |           |              |
| – 股數(十億股)                                  | 3,215.4   | 3,980.2      |
| – 獲納入系統的證券佔已發行股本總數的百分比                     | 71.72     | 75.61        |
| – 股份價值(十億港元)                               | 7,306.9   | 7,704.1      |
| – 獲納入系統的證券佔市價總值的百分比                        | 48.24     | 44.60        |
| 衍生產品結算及交收系統營運資料                            |           |              |
| 季末未平倉合約                                    |           |              |
| – 股市指數期貨                                   | 157,916   | 214,427      |
| – 股票期貨                                     | 14,806    | 6,864        |
| – 利率期貨                                     | 585       | 1,815        |
| – 黃金期貨                                     | 16        | -            |
| – 股市指數期權                                   | 300,990   | 140,548      |
| – 股票期權                                     | 3,847,782 | 4,775,250.00 |
| 累積行使股票期權                                   |           |              |
| – 涉及股數(百萬股)                                | 1,744     | 2,052        |
| – 涉及金額(十億港元)                               | 31        | 61           |

# 主 板 股 份

## 股份成交

|      |       | 股數<br>(百 萬 股) | 金 額<br>(百 萬 港 元) | 成 交 宗 數    |
|------|-------|---------------|------------------|------------|
| 2008 | 第 2 季 | 497,409.06    | 3,329,344.37     | 25,180,928 |
|      | 第 3 季 | 413,439.81    | 2,838,074.56     | 24,351,804 |
|      | 第 4 季 | 608,044.76    | 2,322,640.74     | 32,068,396 |
| 2009 | 第 1 季 | 595,122.61    | 1,902,713.82     | 26,427,341 |
|      | 第 2 季 | 1,188,910.37  | 3,347,606.37     | 42,040,614 |

## 股份交易統計

|      |       | 交 易 日 數 | 每日平均成交<br>金 額 (百 萬 港 元) | 平均每宗<br>交 易 成 交 金 額 |
|------|-------|---------|-------------------------|---------------------|
| 2008 | 第 2 季 | 61      | 54,579.42               | 132,217             |
|      | 第 3 季 | 62      | 45,775.40               | 116,545             |
|      | 第 4 季 | 62      | 37,461.95               | 72,428              |
| 2009 | 第 1 季 | 60      | 31,711.90               | 71,998              |
|      | 第 2 季 | 61      | 54,878.79               | 79,628              |

# 主 板 股 份

## 20種升幅最大之股份

2009年第2季

| 順次 | 股份代號  | 股份     | 收市價      |          | 升幅       |
|----|-------|--------|----------|----------|----------|
|    |       |        | 2009年6月底 | 2009年3月底 |          |
| 1  | 01141 | 保興發展控股 | 1.130    | 0.082    | 1,278.05 |
| 2  | 00030 | 佳訊控股   | 3.010    | 0.265    | 1,035.85 |
| 3  | 02309 | 泓鋒國際   | 0.540    | 0.068    | 694.12   |
| 4  | 00931 | 宏通集團   | 0.540    | 0.071    | 660.56   |
| 5  | 00547 | 奧亮集團   | 0.165    | 0.025    | 560.00   |
| 6  | 00471 | 佳邦環球   | 0.149    | 0.027    | 451.85   |
| 7  | 00295 | 江山控股   | 0.118    | 0.025    | 372.00   |
| 8  | 00922 | 金科數碼   | 0.460    | 0.099    | 364.65   |
| 9  | 00851 | 建美集團   | 0.900    | 0.195    | 361.54   |
| 10 | 00925 | 元昇國際   | 0.790    | 0.175    | 351.43   |
| 11 | 00082 | 第一視頻   | 0.680    | 0.152    | 347.37   |
| 12 | 00313 | 裕田中國   | 0.260    | 0.059    | 340.68   |
| 13 | 00462 | 中國金匯礦業 | 0.880    | 0.215    | 309.30   |
| 14 | 00724 | 泰豐國際   | 0.275    | 0.069    | 298.55   |
| 15 | 02898 | 龍發製藥   | 1.470    | 0.400    | 267.50   |
| 16 | 00055 | 中大印刷   | 0.270    | 0.074    | 264.86   |
| 17 | 00909 | 中大國際   | 1.120    | 0.310    | A 261.29 |
| 18 | 00061 | 綠色環球資源 | 1.730    | 0.480    | 260.42   |
| 19 | 00209 | 崇高國際   | 0.330    | 0.098    | 236.73   |
| 20 | 01003 | 21控股   | 1.740    | 0.520    | 234.62   |

A 經調整

## 20種跌幅最大之股份

2009年第2季

| 順次 | 股份代號  | 股份           | 收市價      |          | 跌幅       |
|----|-------|--------------|----------|----------|----------|
|    |       |              | 2009年6月底 | 2009年3月底 |          |
| 1  | 01051 | 國際資源         | 0.540    | 1.200    | A -55.00 |
| 2  | 00198 | 星美國際         | 0.164    | 0.355    | -53.80   |
| 3  | 00008 | 電訊盈科         | 2.020    | 3.980    | -49.25   |
| 4  | 00913 | 合一投資         | 0.079    | 0.135    | -41.48   |
| 5  | 00651 | 和成國際         | 0.500    | 0.850    | A -41.18 |
| 6  | 00642 | PALADIN PREF | 0.189    | 0.300    | -37.00   |
| 7  | 00630 | 輝影國際         | 0.160    | 0.249    | -35.74   |
| 8  | 00597 | 華潤微電子        | 0.187    | 0.280    | -33.21   |
| 9  | 00702 | 創新能源         | 0.285    | 0.410    | -30.49   |
| 10 | 00205 | 財訊傳媒         | 0.165    | 0.220    | -25.00   |
| 11 | 02332 | 和記電訊國際       | 1.820    | 2.420    | -24.79   |
| 12 | 00764 | 中國星投資        | 0.550    | 0.730    | A -24.66 |
| 13 | 00487 | 實德環球         | 0.355    | 0.470    | -24.47   |
| 14 | 01201 | 僑威集團         | 1.950    | 2.500    | -22.00   |
| 15 | 00482 | 聖馬丁國際        | 0.870    | 1.100    | -20.91   |
| 16 | 01215 | 開源控股         | 0.247    | 0.310    | -20.32   |
| 17 | 01142 | 朗迪國際         | 0.084    | 0.104    | -19.23   |
| 18 | 00252 | 華信地產財務       | 1.500    | 1.850    | -18.92   |
| 19 | 00428 | 亨亞           | 3.800    | 4.650    | -18.28   |
| 20 | 00660 | 偉俊礦業集團       | 0.270    | 0.330    | -18.18   |

A 經調整

# 主 板 股 份

## 20種成交最活躍股份(金額)

2009年第2季

| 順次 | 股份代號  | 股份       | 成交金額(百萬港元)   | 佔市場百分比 |
|----|-------|----------|--------------|--------|
| 1  | 00939 | 建設銀行     | 285,451.07   | 6.95   |
| 2  | 00005 | 匯豐控股     | 217,606.82   | 5.30   |
| 3  | 00941 | 中國移動     | 194,514.50   | 4.74   |
| 4  | 01398 | 工商銀行     | 181,883.32   | 4.43   |
| 5  | 03988 | 中國銀行     | 145,708.63   | 3.55   |
| 6  | 02628 | 中國人壽     | 144,087.33   | 3.51   |
| 7  | 00857 | 中國石油股份   | 99,524.97    | 2.42   |
| 8  | 00388 | 香港交易所    | 96,294.76    | 2.35   |
| 9  | 00386 | 中國石油化工股份 | 94,150.82    | 2.29   |
| 10 | 00883 | 中國海洋石油   | 88,419.60    | 2.15   |
| 11 | 00016 | 新鴻基地產    | 61,442.85    | 1.50   |
| 12 | 01919 | 中國遠洋     | 59,586.87    | 1.45   |
| 13 | 02318 | 中國平安     | 57,578.26    | 1.40   |
| 14 | 03968 | 招商銀行     | 56,338.77    | 1.37   |
| 15 | 01088 | 中國神華     | 50,820.00    | 1.24   |
| 16 | 02600 | 中國鋁業     | 44,642.33    | 1.09   |
| 17 | 00688 | 中國海外發展   | 40,756.02    | 0.99   |
| 18 | 00358 | 江西銅業股份   | 39,289.59    | 0.96   |
| 19 | 00001 | 長江實業     | 38,633.09    | 0.94   |
| 20 | 03328 | 交通銀行     | 37,909.48    | 0.92   |
| 總額 |       |          | 2,034,639.12 | 49.57  |

## 20種成交最活躍股份(股數)

2009年第2季

| 順次 | 股份代號  | 股份             | 成交股數(百萬股)  | 佔市場百分比 |
|----|-------|----------------|------------|--------|
| 1  | 00939 | 建設銀行           | 60,262.91  | 4.36   |
| 2  | 03988 | 中國銀行           | 50,077.60  | 3.63   |
| 3  | 00651 | 和成國際           | 42,362.12  | 3.07   |
| 4  | 01398 | 工商銀行           | 41,471.57  | 3.00   |
| 5  | 00690 | 聯康生物科技集團       | 37,676.45  | 2.73   |
| 6  | 03886 | 康健國際           | 26,897.54  | 1.95   |
| 7  | 01041 | 福邦控股           | 18,649.26  | 1.35   |
| 8  | 01142 | 朗迪國際           | 17,986.12  | 1.30   |
| 9  | 00386 | 中國石油化工股份       | 16,974.36  | 1.23   |
| 10 | 00261 | 中建科技國際         | 16,472.60  | 1.19   |
| 11 | 00697 | SHOUGANG INT'L | 15,596.13  | 1.13   |
| 12 | 00152 | 深圳國際           | 14,398.71  | 1.04   |
| 13 | 02866 | 中海集運           | 13,736.43  | 0.99   |
| 14 | 00857 | 中國石油股份         | 13,525.88  | 0.98   |
| 15 | 00648 | 中國仁濟醫療         | 13,439.25  | 0.97   |
| 16 | 01228 | 奇峰國際           | 12,609.12  | 0.91   |
| 17 | 00245 | 中國七星購物         | 11,611.80  | 0.84   |
| 18 | 00728 | 中國電信           | 10,669.44  | 0.77   |
| 19 | 00182 | 中國風電           | 10,651.27  | 0.77   |
| 20 | 00166 | 新時代集團          | 10,622.23  | 0.77   |
| 總數 |       |                | 455,690.77 | 32.99  |



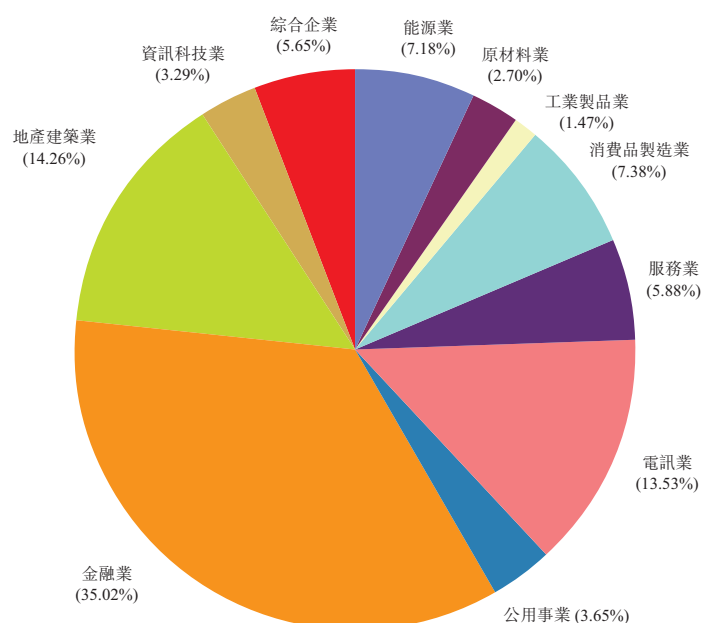
# 主 板 股 份

## 上市公司市價總值－主板

|      |       | 百 萬 港 元       |
|------|-------|---------------|
| 2008 | 第 2 季 | 16,246,996.96 |
|      | 第 3 季 | 12,481,118.88 |
|      | 第 4 季 | 10,253,588.75 |
| 2009 | 第 1 季 | 10,080,762.91 |
|      | 第 2 季 | 14,074,574.48 |

## 恒生行業分類系統之證券市價總值\*－主板

季末數字



\* 行業分類由恒生指數有限公司提供。

# 主 板 股 份

## 50間市價總值最大之上市公司

截至2009年第2季季末

| 順次   | 股份代號  | 公司                  | 市價總值(百萬港元)    | 佔市場總值(%) |
|------|-------|---------------------|---------------|----------|
| 1    | 00941 | 中國移動有限公司            | 1,556,457.81  | 11.06    |
| 2    | 00939 | 中國建設銀行股份有限公司－H股     | 1,350,381.39  | 9.59     |
| 3    | 00005 | 匯豐控股有限公司            | 1,136,706.22  | 8.08     |
| 4    | 01398 | 中國工商銀行股份有限公司－H股     | 448,505.11    | 3.19     |
| 5    | 00883 | 中國海洋石油有限公司          | 429,271.01    | 3.05     |
| 6    | 02888 | 渣打集團有限公司            | 290,143.70    | 2.06     |
| 7    | 03988 | 中國銀行股份有限公司－H股       | 280,514.73    | 1.99     |
| 8    | 00016 | 新鴻基地產發展有限公司         | 248,227.47    | 1.76     |
| 9    | 00762 | 中國聯合網絡通信(香港)股份有限公司  | 243,858.91    | 1.73     |
| 10   | 00013 | 和記黃埔有限公司            | 215,939.73    | 1.53     |
| 11   | 02628 | 中國人壽保險股份有限公司－H股     | 212,073.49    | 1.51     |
| 12   | 00011 | 恒生銀行有限公司            | 208,390.86    | 1.48     |
| 13   | 00001 | 長江實業(集團)有限公司        | 206,370.24    | 1.47     |
| 14   | 03328 | 交通銀行股份有限公司－H股       | 200,430.23    | 1.42     |
| 15   | 00857 | 中國石油天然氣股份有限公司－H股    | 181,450.54    | 1.29     |
| 16   | 00700 | 騰訊控股有限公司            | 163,194.01    | 1.16     |
| 17   | 00688 | 中國海外發展有限公司          | 146,982.10    | 1.04     |
| 18   | 02388 | 中銀香港(控股)有限公司        | 143,578.36    | 1.02     |
| 19   | 02318 | 中國平安保險(集團)股份有限公司－H股 | 134,200.86    | 0.95     |
| 20   | 00066 | 香港鐵路有限公司            | 132,795.32    | 0.94     |
| 21   | 00388 | 香港交易及結算所有限公司        | 129,859.12    | 0.92     |
| 22   | 00002 | 中電控股有限公司            | 123,675.77    | 0.88     |
| 23   | 00019 | 太古股份有限公司            | 115,265.30    | 0.82     |
| 24   | 00003 | 香港中華煤氣有限公司          | 107,242.31    | 0.76     |
| 25   | 00101 | 恒隆地產有限公司            | 106,335.09    | 0.76     |
| 26   | 00386 | 中國石油化工股份有限公司－H股     | 99,172.68     | 0.70     |
| 27   | 01088 | 中國神華能源股份有限公司－H股     | 97,029.53     | 0.69     |
| 28   | 00012 | 恒基兆業地產有限公司          | 95,422.70     | 0.68     |
| 29   | 00006 | 香港電燈集團有限公司          | 91,986.68     | 0.65     |
| 30   | 00004 | 九龍倉集團有限公司           | 90,464.34     | 0.64     |
| 31   | 01109 | 華潤置地有限公司            | 86,296.53     | 0.61     |
| 32   | 00836 | 華潤電力控股有限公司          | 80,367.37     | 0.57     |
| 33   | 00494 | 利豐有限公司              | 78,195.00     | 0.56     |
| 34   | 00322 | 康師傅控股有限公司           | 71,399.22     | 0.51     |
| 35   | 01688 | 阿里巴巴網絡有限公司          | 69,240.22     | 0.49     |
| 36   | 00998 | 中信銀行股份有限公司－H股       | 62,381.07     | 0.44     |
| 37   | 00083 | 信和置業有限公司            | 62,145.95     | 0.44     |
| 38   | 03968 | 招商銀行股份有限公司－H股       | 61,391.04     | 0.44     |
| 39   | 01038 | 長江基建集團有限公司          | 61,314.51     | 0.44     |
| 40   | 02007 | 碧桂園控股有限公司           | 59,059.60     | 0.42     |
| 41   | 00267 | 中信泰富有限公司            | 58,413.31     | 0.42     |
| 42   | 00151 | 中國旺旺控股有限公司          | 57,853.45     | 0.41     |
| 43   | 01333 | 中國忠旺控股有限公司          | 57,523.10     | 0.41     |
| 44   | 01880 | 百麗國際控股有限公司          | 57,521.47     | 0.41     |
| 45   | 00017 | 新世界發展有限公司           | 54,219.80     | 0.39     |
| 46   | 00144 | 招商局國際有限公司           | 54,163.79     | 0.38     |
| 47   | 00330 | 思捷環球控股有限公司          | 53,887.77     | 0.38     |
| 48   | 00728 | 中國電信股份有限公司－H股       | 53,566.80     | 0.38     |
| 49   | 00813 | 世茂房地產控股有限公司         | 53,243.86     | 0.38     |
| 50   | 00010 | 恒隆集團有限公司            | 48,702.36     | 0.35     |
| 總額   |       |                     | 10,226,811.84 | 72.66    |
| 市場總值 |       |                     | 14,074,574.48 | 100.00   |

# 主 板 股 份

## 賣空交易(金額)

|      |       | 賣空交易<br>(百 萬 港 元) | 股份成交金額<br>(百 萬 港 元) * | 佔股份成交<br>百 份 比 |
|------|-------|-------------------|-----------------------|----------------|
| 2008 | 第 2 季 | 345,265.36        | 3,346,787.65          | 10.32          |
|      | 第 3 季 | 327,618.01        | 2,847,263.13          | 11.51          |
|      | 第 4 季 | 207,081.01        | 2,326,710.98          | 8.90           |
| 2009 | 第 1 季 | 193,237.79        | 1,906,905.94          | 10.13          |
|      | 第 2 季 | 210,086.20        | 3,367,168.10          | 6.24           |

\* 包括主板及創業板數據

## 賣空交易(股數)

|      |       | 賣空交易<br>(百 萬 股) | 股份成交股數<br>(百 萬 股) * | 佔股份成交<br>百 份 比 |
|------|-------|-----------------|---------------------|----------------|
| 2008 | 第 2 季 | 25,402.17       | 551,233.73          | 4.61           |
|      | 第 3 季 | 27,563.50       | 441,101.48          | 6.25           |
|      | 第 4 季 | 26,217.91       | 628,043.79          | 4.17           |
| 2009 | 第 1 季 | 23,846.47       | 618,173.72          | 3.86           |
|      | 第 2 季 | 22,870.86       | 1,305,366.29        | 1.75           |

\* 包括主板及創業板數據

## 新上市統計－公司

|      |       | 新上市<br>公司數目 | 創業板<br>公司轉板數目 * | 集資金額<br>(百 萬 港 元) # |
|------|-------|-------------|-----------------|---------------------|
| 2008 | 第 2 季 | 11          | —               | 17,153.41           |
|      | 第 3 季 | 7           | 8               | 11,970.91           |
|      | 第 4 季 | 5           | 6               | 3,645.19            |
| 2009 | 第 1 季 | 7           | 0               | 1,561.65            |
|      | 第 2 季 | 7           | 4               | 15,849.80           |

\* 祇包括引用《創業板上市規則》經修訂第9.24條以及《主板上市規則》新增第9A章由創業板轉至主板的上市公司。上述規則於2008年7月1日生效。

# 集資金額為新上市公司首次公開招股的集資總額

# 主 板 股 份

## 新上市公司

2009年第2季

| 股份代號  | 公司名稱             | 上市日期       | 已發行股數         | 集資金額(百萬港元) |
|-------|------------------|------------|---------------|------------|
| 00886 | 銀基集團控股有限公司       | 2009/04/08 | 1,200,000,000 | 1,035.00   |
| 01333 | 中國忠旺控股有限公司       | 2009/05/08 | 5,406,306,400 | 9,844.14   |
| 00215 | 和記電訊香港控股有限公司     | 2009/05/08 | 4,814,346,208 | —          |
| 01328 | 精英國際有限公司*        | 2009/05/25 | 946,200,000   | n.a.       |
| 00206 | TSC海洋集團有限公司*     | 2009/06/05 | 562,180,404   | n.a.       |
| 00801 | 金衛醫療科技有限公司*      | 2009/06/16 | 1,593,921,625 | n.a.       |
| 00067 | 旭光資源有限公司         | 2009/06/16 | 1,924,000,000 | 1,327.56   |
| 00065 | 弘海有限公司*          | 2009/06/22 | 508,262,400   | n.a.       |
| 00773 | 中國金屬再生資源(控股)有限公司 | 2009/06/22 | 1,045,000,000 | 1,787.10   |
| 00396 | 興利(香港)控股有限公司     | 2009/06/22 | 200,000,000   | 51.00      |
| 01361 | 361度國際有限公司       | 2009/06/30 | 2,000,000,000 | 1,805.00   |
| 總 額   |                  |            |               | 15,849.80  |

\* 原為創業板上市公司,後引用於2008年7月1日生效的《創業板上市規則》經修訂第9.24條以及《主板上市規則》新增第9A章轉至主板上市。

## 除牌上市公司

2009年第2季

| 股份代號 | 公司名稱 | 最後買賣日期 | 除牌日期 |
|------|------|--------|------|
| NIL  |      |        |      |

# 主 板 股 份

## 公司名稱更改

2009 年 第 2 季

| 股份代號  | 原有名稱           | 新名稱              | 生效日期       | 採用日期       |
|-------|----------------|------------------|------------|------------|
| 00399 | 遠東生物制藥科技有限公司   | 聯合基因科技集團有限公司     | 2009/03/03 | 2009/04/02 |
| 00009 | 東方娛樂控股有限公司     | 中國東方實業集團有限公司     | 2009/04/01 | 2009/05/15 |
| 00988 | 新銀集團有限公司       | 樓東俊安資源(中國)控股有限公司 | 2009/05/08 | 2009/05/21 |
| 01094 | 新怡環球控股有限公司     | 中國公共採購有限公司       | 2009/04/27 | 2009/05/22 |
| 00433 | 新萬泰控股有限公司      | 北方礦業股份有限公司       | 2009/04/29 | 2009/06/02 |
| 00313 | 德信集團控股有限公司     | 裕田中國發展有限公司       | 2009/05/11 | 2009/06/18 |
| 01051 | 智富能源金融(集團)有限公司 | 國際資源集團有限公司       | 2009/06/03 | 2009/06/22 |
| 00530 | 廣益國際集團有限公司     | 高銀金融(集團)有限公司     | 2009/05/27 | 2009/06/25 |
| 00487 | 澳門實德有限公司       | 實德環球有限公司         | 2009/05/27 | 2009/06/29 |

# 主 板 股 份

## 紅股／紅利認股權證

2009年第2季

| 股份代號  | 公司            | 詳情                        | 除淨日        |
|-------|---------------|---------------------------|------------|
| 01222 | 宏安集團有限公司      | 每供3股送2股                   | 2009/04/01 |
| 00985 | 中國科技集團有限公司    | 每供5股送1份2011年認股權證          | 2009/04/02 |
| 00690 | 聯康生物科技集團有限公司  | 每供1股送2股股份                 | 2009/04/09 |
| 00131 | 卓能(集團)有限公司    | 每6股送1份2010年認股權證           | 2009/04/14 |
| 00763 | 中興通訊股份有限公司－H股 | 10送3                      | 2009/04/16 |
| 00578 | 合動能源控股有限公司    | 5送4                       | 2009/04/23 |
| 00190 | 香港建設(控股)有限公司  | 10股送1份認股權證                | 2009/04/28 |
|       |               | 每144股送1份香港新能源(控股)有限公司認股權證 |            |
| 00987 | 香港新能源(控股)有限公司 | 10股送1股認股權證                | 2009/04/28 |
| 03968 | 招商銀行股份有限公司－H股 | 10送3                      | 2009/05/18 |
| 03339 | 中國龍工控股有限公司    | 1送1                       | 2009/05/22 |
| 00272 | 瑞安房地產有限公司     | 10送1                      | 2009/05/26 |
| 02342 | 京信通信系統控股有限公司  | 10送1                      | 2009/05/27 |
| 00047 | 合興集團控股有限公司    | 每5股送1份2013年認股權證           | 2009/05/27 |
| 01177 | 中國生物製藥有限公司    | 3送1                       | 2009/06/03 |
| 00909 | 中大國際控股有限公司    | 每供10股送2股股份                | 2009/06/18 |

## 股份拆細及合併

2009年第2季

| 股份代號  | 公司              | 詳情        | 生效日期       |
|-------|-----------------|-----------|------------|
| 00985 | 中國科技集團有限公司      | 25股合併為1股  | 2009/04/01 |
| 00372 | 德祥企業集團有限公司      | 20股合併為1股  | 2009/04/03 |
| 00397 | 香港體檢及醫學診斷控股有限公司 | 50股合併為1股  | 2009/04/06 |
| 01004 | 麗盛集團控股有限公司      | 25股合併為1股  | 2009/04/06 |
| 00764 | 中國星投資有限公司       | 10股合併為1股  | 2009/04/23 |
| 00566 | 紅發集團有限公司        | 5股合併為1股   | 2009/04/23 |
| 00326 | 中國星集團有限公司       | 20股合併為1股  | 2009/05/04 |
| 00530 | 高銀金融(集團)有限公司    | 40股合併為1股  | 2009/05/14 |
| 03928 | 鄭州燃氣股份有限公司－H股   | 10股合併為1股  | 2009/05/22 |
| 03886 | 康健國際控股有限公司      | 100股合併為1股 | 2009/05/25 |
| 01051 | 國際資源集團有限公司      | 10股合併為1股  | 2009/06/01 |
| 00651 | 和成國際集團有限公司      | 50股合併為1股  | 2009/06/25 |

# 主 板 股 份

## 供股／公開售股

2009年第2季

| 月份 | 股份代號  | 公司名稱          | 比率                | 集資金額<br>(百萬港元) |
|----|-------|---------------|-------------------|----------------|
| 4月 | 00005 | 匯豐控股有限公司      | 股權12供5，每股供28港元    | 141,686.69     |
|    | 00510 | 時富金融服務集團有限公司  | 股權2供1，每股供0.45港元   | 92.57          |
|    | 00666 | 禹銘投資有限公司      | 股權1供1，每股供0.10港元   | 186.92         |
|    |       |               | 另每供5股送1份2011年認股權證 |                |
|    | 00716 | 勝獅貨櫃企業有限公司    | 股權1供2，每股供0.35港元   | 492.04         |
|    | 01222 | 宏安集團有限公司      | 公開售股1供3，每股供0.10港元 | 113.29         |
|    |       |               | 另每供3股送2股股份        |                |
|    |       |               | (25股合併為1股後)       |                |
|    |       |               |                   |                |
|    |       |               |                   |                |
| 5月 | 01059 | 看通集團有限公司      | 股權4供1，每股供0.1港元    | 101.48         |
|    | 00690 | 聯康生物科技集團有限公司  | 公開售股6供1，每股供0.10港元 | 144.98         |
|    |       |               | 另每供1股送2股股份        |                |
|    | 00051 | 海港企業有限公司      | 股權2供1，每股供3.99港元   | 942.64         |
|    | 00372 | 德祥企業集團有限公司    | 股權1供4，每股供0.20港元   | 107.79         |
|    |       |               | (20股合併為1股後)       |                |
|    | 00185 | 特速集團有限公司      | 公開售股5供1，每股供0.05港元 | 18.37          |
|    | 00985 | 中國科技集團有限公司    | 股權1供5，每股供0.15港元   | 397.99         |
|    |       |               | 另每供5股送1份2011年認權證  |                |
|    |       |               | (25股合併為1股後)       |                |
| 6月 | 00530 | 高銀金融(集團)有限公司  | 股權1供9，每股供0.67港元   | 572.02         |
|    |       |               | (40股合併為1股後)       |                |
|    | 00197 | 亨泰消費品集團有限公司   | 公開售股2供1，每股供0.18港元 | 151.66         |
|    | 00758 | 莊勝百貨集團有限公司    | 股權2供1，每股供0.10港元   | 21.10          |
|    | 00092 | 冠軍科技集團有限公司    | 股權1供1，每股供0.10港元   | 199.08         |
|    | 00587 | 華瀚生物製藥控股有限公司  | 公開售股2供1，每股供0.50港元 | 220.18         |
|    | 01174 | 太平洋恩利國際控股有限公司 | 股權2供1，每股供0.60港元   | 566.42         |
|    | 00566 | 紅發集團有限公司      | 公開售股1供4，每股供0.10港元 | 63.56          |
|    | 01060 | 上海聯合水泥股份有限公司  | 公開售股2供1，每股供0.30港元 | 131.16         |
|    | 00230 | 五礦建設有限公司      | 股權2供1，每股供0.94港元   | 523.50         |
|    | 00498 | 保華集團有限公司      | 股權1供2，每股供0.12港元   | 362.32         |
| 總額 |       |               |                   | 147,095.76     |

# 主 板 股 份

## 股份配售\*

| 月份   | 股份代號  | 公司名稱           | 配售股份數目        | 配售價<br>(港元) | 集資金額<br>(百萬港元) |
|------|-------|----------------|---------------|-------------|----------------|
| 2009 |       |                |               |             |                |
| 4月   | 00827 | 玖源集團           | 650,000,000   | 0.120       | 78.00          |
|      | 02310 | 光星電子           | 8,534,933     | 0.410       | 3.50           |
|      | 01227 | 國盛投資           | 218,400,000   | 0.050       | 10.92          |
|      | 00813 | 世茂房地產          | 282,229,000   | 6.950       | 1,961.49       |
| 5月   | 01003 | 21控股           | 25,300,000    | 0.150       | 3.80           |
|      | 00959 | 澳瑪娛樂           | 1,000,000,000 | 0.400       | 400.00         |
|      | 01114 | BRILLIANCE CHI | 1,313,953,488 | 0.430       | 565.00         |
|      | 01194 | 中國貴金屬          | 50,000,000    | 0.405       | 20.25          |
|      | 00569 | 中國自動化          | 86,000,000    | 2.300       | 197.80         |
|      | 00263 | 中國雲錫礦業         | 511,000,000   | 0.270       | 137.97         |
|      | 00736 | 中國置業投資         | 350,000,000   | 0.133       | 46.55          |
|      | 01109 | 華潤置地           | 300,000,000   | 14.340      | 4,302.00       |
|      | 02356 | 大新銀行集團         | 54,000,000    | 5.600       | 302.40         |
|      | 00275 | 錦興集團           | 20,000,000    | 0.780       | 15.60          |
|      | 00412 | 漢基控股           | 51,000,000    | 0.500       | 25.50          |
|      | 00818 | 高陽科技           | 400,000,000   | 0.750       | 300.00         |
|      | 02882 | 香港資源控股         | 40,000,000    | 1.300       | 52.00          |
|      | 00559 | 華藝礦業           | 35,410,000    | 0.355       | 12.57          |
|      | 00630 | 輝影國際           | 109,000,000   | 0.195       | 21.26          |
|      | 03336 | 巨騰國際           | 100,000,000   | 4.070       | 407.00         |
|      | 00494 | 利豐             | 120,290,000   | 22.550      | 2,712.54       |
|      | 02343 | 太平洋航運          | 174,731,010   | 4.360       | 761.83         |
|      | 00850 | 中亞能源           | 225,000,000   | 0.325       | 73.13          |
|      | 01141 | 保興發展控股         | 99,120,000    | 0.102       | 10.11          |
|      | 02366 | 勤+緣媒體服務        | 33,300,000    | 1.390       | 46.29          |
|      | 00521 | 首長科技           | 230,000,000   | 0.400       | 92.00          |
|      | 00223 | 神州資源           | 89,000,000    | 0.338       | 30.08          |
|      | 00897 | 位元堂            | 402,000,000   | 0.088       | 35.38          |
| 6月   | 00899 | 亞洲資源           | 80,000,000    | 0.397       | 31.76          |
|      | 00761 | 百營環球資源         | 170,000,000   | 0.205       | 34.85          |
|      | 00149 | 中國農產品交易        | 2,000,000,000 | 0.080       | 160.00         |
|      | 00263 | 中國雲錫礦業         | 170,000,000   | 0.228       | 38.76          |
|      | 00682 | 超大現代           | 388,000,000   | 4.600       | 1,784.80       |
|      | 00670 | 中國東方航空股份       | 1,437,375,000 | 1.132       | 1,627.11       |
|      | 00326 | 中國星集團          | 800,000,000   | 0.200       | 160.00         |
|      | 00885 | 福方集團           | 227,270,000   | 0.250       | 56.82          |
|      | 03800 | 保利協鑫能源         | 50,000,000    | 1.550       | 77.50          |
|      | 00175 | 吉利汽車           | 570,000,000   | 1.350       | 769.50         |
|      | 01031 | 黃金集團           | 1,477,000,000 | 0.185       | 273.25         |
|      | 00286 | 金匡企業           | 400,000,000   | 0.373       | 149.20         |
|      | 02309 | 泓鋒國際           | 150,000,000   | 0.400       | 60.00          |
|      | 00754 | 合生創展集團         | 120,000,000   | 13.300      | 1,596.00       |
|      | 00969 | 華聯國際           | 100,000,000   | 0.600       | 60.00          |
|      | 00596 | 浪潮國際           | 310,000,000   | 1.400       | 434.00         |
|      | 00929 | IPE集團          | 35,000,000    | 0.437       | 15.28          |



# 主 板 股 份

| 月 份 | 股 份 代 號 | 公 司 名 稱        | 配 售 股 份 數 目   | 配 售 價<br>(港 元) | 集 資 金 額<br>(百 萬 港 元) |
|-----|---------|----------------|---------------|----------------|----------------------|
|     | 00372   | 德祥企業           | 80,000,000    | 0.750          | 60.00                |
|     | 00268   | 金蝶國際           | 90,000,000    | 1.370          | 123.30               |
|     | 00905   | MASTERMIND CAP | 48,000,000    | 0.125          | 6.00                 |
|     | 00119   | 保利香港           | 230,000,000   | 3.450          | 793.50               |
|     | 00901   | 萊福資本           | 162,000,000   | 0.120          | 19.44                |
|     | 00272   | 瑞安房地產          | 418,500,000   | 4.870          | 2,038.10             |
|     | 01166   | 榮盛科技國際         | 120,000,000   | 0.066          | 7.92                 |
|     | 00223   | 神州資源           | 89,000,000    | 0.338          | 30.08                |
|     | 01228   | 奇峰國際           | 3,510,000,000 | 0.048          | 168.48               |
|     | 00913   | 合一投資           | 239,000,000   | 0.100          | 23.90                |
|     | 00082   | 第一視頻           | 144,000,000   | 0.550          | 79.20                |
|     | 00159   | 華南投資           | 111,500,000   | 0.900          | 100.35               |
|     | 01129   | 中國水業集團         | 365,000,000   | 0.330          | 120.45               |
|     | 00651   | 和成國際           | 3,400,000,000 | 0.013          | 44.20                |
|     | 00868   | 信義玻璃           | 90,000,000    | 5.800          | 522.00               |
| 總 額 |         |                |               |                | 24,090.69            |

\* 由於資料呈報之時差，本表所列乃為該季度臨時之股份配售數據。

\*\* 前季度之補充資料。

# 主 板 認 股 權 證

## 認股權證交易統計

|      |     | 股份認股權證<br>(百萬港元) | 衍生權證<br>(百萬港元) | 總額<br>(百萬港元) |
|------|-----|------------------|----------------|--------------|
| 2008 | 第2季 | 516.79           | 958,619.84     | 959,136.63   |
|      | 第3季 | 166.30           | 555,791.97     | 555,958.28   |
|      | 第4季 | 5.74             | 308,244.86     | 308,250.59   |
| 2009 | 第1季 | 5.00             | 314,404.68     | 314,409.68   |
|      | 第2季 | 172.23           | 412,980.82     | 413,153.05   |

## 認股權證市價總值

|      |     | 數目 | 股份認股權證<br>(百萬港元) | 數目    | 衍生權證<br>(百萬港元) | 總數    | 總額<br>(百萬港元) |
|------|-----|----|------------------|-------|----------------|-------|--------------|
| 2008 | 第2季 | 35 | 2,089.63         | 4,599 | 212,788.32     | 4,634 | 214,877.95   |
|      | 第3季 | 37 | 776.08           | 3,941 | 156,186.99     | 3,978 | 156,963.07   |
|      | 第4季 | 34 | 548.52           | 3,011 | 169,573.55     | 3,045 | 170,122.08   |
| 2009 | 第1季 | 31 | 327.03           | 2,510 | 132,412.29     | 2,541 | 132,739.32   |
|      | 第2季 | 30 | 998.23           | 2,726 | 208,964.75     | 2,756 | 209,962.98   |

## 新上市統計－認股權證

|      |     | 新上市股份認股<br>權證數目 | 新上市衍生<br>權證數目 | 集資金額<br>(百萬港元) |
|------|-----|-----------------|---------------|----------------|
| 2008 | 第2季 | 2               | 1,058         | 110,344.97     |
|      | 第3季 | 6               | 1,174         | 107,224.10     |
|      | 第4季 | 3               | 871           | 80,858.92      |
| 2009 | 第1季 | 1               | 569           | 47,600.67      |
|      | 第2季 | 7               | 1,005         | 68,757.45      |

## 新上市股份認股權證

2009年第2季

| 股份<br>代號 | 股份認股權證                 | 上市時之發行<br>金額(港元) | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|------------------------|------------------|------------|------------|----------------|
| 00594    | 彩星集團有限公司2010年認股權證      | 39,384,000       | 2009/04/15 | 2010/10/14 | —              |
| 00534    | 禹銘投資有限公司2011年認股權證      | 37,383,450       | 2009/04/27 | 2011/04/22 | —              |
| 00436    | 卓能(集團)有限公司2010年認股權證    | 33,881,749       | 2009/05/07 | 2010/05/04 | —              |
| 00748    | 香港新能源(控股)有限公司2011年認股權證 | 22,906,043       | 2009/05/19 | 2011/05/13 | —              |
| 00407    | 香港建設(控股)有限公司2011年認股權證  | 330,192,580      | 2009/05/26 | 2011/05/21 | —              |
| 00523    | 中國科技集團有限公司2011年認股權證    | 106,129,701      | 2009/06/05 | 2011/06/02 | —              |
| 00134    | 合興集團控股有限公司2013年認股權證    | 20,435,469       | 2009/06/10 | 2013/05/31 | —              |
| 總額       |                        |                  |            |            | —              |

# 主 板 認 股 權 證

## 新上市衍生權證

2009年第2季

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬港元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|----------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |                |
| 16595    | BNP Paribas Arbit Issu B.V. - ICBC European Wts Aug 2009     | 200,000,000 | 2009/04/01 | 2009/08/03 | 34.00          |
| 16594    | Deutsche Bank AG - A50 China European Warrants Oct 2009 A    | 300,000,000 | 2009/04/01 | 2009/10/12 | 49.50          |
| 16593    | Deutsche Bank AG - PetroChina European Warrants Nov 2009     | 300,000,000 | 2009/04/01 | 2009/11/02 | 45.00          |
| 16588    | KBC Fin Products Int'l Ltd. - CC Bank Euro Put Wts Oct 2009  | 208,000,000 | 2009/04/01 | 2009/10/05 | 85.28          |
| 16590    | KBC Fin Products Int'l Ltd. - CC Bank Euro Put Wts Dec 2009E | 138,000,000 | 2009/04/01 | 2009/12/04 | 198.72         |
| 16589    | KBC Fin Products Int'l Ltd. - CC Bank Euro Put Wts Nov 2009B | 108,000,000 | 2009/04/01 | 2009/11/06 | 91.80          |
| 16591    | KBC Fin Products Int'l Ltd. - ICBC European Wts Nov 2009 A   | 168,000,000 | 2009/04/01 | 2009/11/18 | 99.12          |
| 16592    | KBC Fin Products Int'l Ltd. - ICBC European Wts Nov 2009 B   | 338,000,000 | 2009/04/01 | 2009/11/05 | 98.02          |
| 16587    | SGA Societe Generale Acceptance N.V. - CP&CC Eur Wt Jan 10 B | 100,000,000 | 2009/04/01 | 2010/01/04 | 84.00          |
| 16604    | ABN AMRO Bank N.V. - BOCL European Warrants Oct 2009         | 100,000,000 | 2009/04/02 | 2009/10/19 | 31.90          |
| 16606    | ABN AMRO Bank N.V. - CC Bank European Warrants Oct 2009      | 88,000,000  | 2009/04/02 | 2009/10/05 | 52.80          |
| 16601    | BNP Paribas Arbit Issu B.V. - HSCEI European Wts Dec 2009 A  | 200,000,000 | 2009/04/02 | 2009/12/30 | 54.00          |
| 16605    | BNP Paribas Arbit Issu B.V. - HSCEI Euro Put Wts Dec 2009 C  | 200,000,000 | 2009/04/02 | 2009/12/30 | 52.00          |
| 16602    | BNP Paribas Arbit Issu B.V. - HSI European Wts Oct 2009 A    | 300,000,000 | 2009/04/02 | 2009/10/29 | 75.00          |
| 16603    | BNP Paribas Arbit Issu B.V. - HSI Euro Put Wts Nov 2009 A    | 300,000,000 | 2009/04/02 | 2009/11/27 | 75.00          |
| 16600    | BNP Paribas Arbit Issu B.V. - ICBC European Wts Oct 2009 C   | 200,000,000 | 2009/04/02 | 2009/10/05 | 50.00          |
| 16597    | Macquarie Bank Ltd. - HKEx European Warrants Oct 2009        | 100,000,000 | 2009/04/02 | 2009/10/29 | 105.80         |
| 16596    | Macquarie Bank Ltd. - HKEx European Warrants Dec 2009 A      | 200,000,000 | 2009/04/02 | 2009/12/30 | 50.60          |
| 16598    | Macquarie Bank Ltd. - PetroChina European Put Wts Oct 2009   | 88,000,000  | 2009/04/02 | 2009/10/30 | 82.19          |
| 16599    | Macquarie Bank Ltd. - PetroChina European Put Wts Dec 2010   | 250,000,000 | 2009/04/02 | 2010/12/30 | 62.75          |
| 16620    | KBC Fin Products Int'l Ltd. - BOCL European Wts Nov 2009 C   | 400,000,000 | 2009/04/03 | 2009/11/02 | 100.00         |
| 16621    | KBC Fin Products Int'l Ltd. - CNOOC European Wts Jan 2010    | 400,000,000 | 2009/04/03 | 2010/01/20 | 100.00         |
| 16615    | KBC Fin Products Int'l Ltd. - HSCEI Euro Wts Dec 2009 A      | 400,000,000 | 2009/04/03 | 2009/12/30 | 100.00         |
| 16616    | KBC Fin Products Int'l Ltd. - HSCEI Euro Wts Dec 2009 B      | 400,000,000 | 2009/04/03 | 2009/12/30 | 100.00         |
| 16617    | KBC Fin Products Int'l Ltd. - HSCEI Euro Put Wts Nov 2009 A  | 378,000,000 | 2009/04/03 | 2009/11/27 | 98.28          |
| 16618    | KBC Fin Products Int'l Ltd. - HSCEI Euro Put Wts Nov 2009 B  | 400,000,000 | 2009/04/03 | 2009/11/27 | 100.00         |
| 16619    | KBC Fin Products Int'l Ltd. - HSCEI Euro Put Wts Dec 2009 E  | 348,000,000 | 2009/04/03 | 2009/12/30 | 97.44          |
| 16622    | KBC Fin Products Int'l Ltd. - PetroChina Eur Put Wt Jan 2010 | 400,000,000 | 2009/04/03 | 2010/01/25 | 100.00         |
| 16607    | Macquarie Bank Ltd. - Sinopec Corp European Wts Oct 2009 B   | 100,000,000 | 2009/04/03 | 2009/10/29 | 69.30          |
| 16610    | SGA Societe Generale Acceptance N.V. - CMob Eu Put Wt Dec 09 | 800,000,000 | 2009/04/03 | 2009/12/14 | 124.00         |
| 16609    | SGA Societe Generale Acceptance N.V. - CCB Eur Wt Dec 2009 B | 150,000,000 | 2009/04/03 | 2009/12/07 | 136.50         |
| 16611    | SGA Societe Generale Acceptance N.V. - CNOOC Eu Wt Dec 2009B | 300,000,000 | 2009/04/03 | 2009/12/22 | 47.40          |
| 16608    | SGA Societe Generale Acceptance N.V. - HSI Eur Wt Oct 2009 D | 300,000,000 | 2009/04/03 | 2009/10/29 | 75.00          |
| 16612    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Oct 09A | 300,000,000 | 2009/04/03 | 2009/10/29 | 75.00          |
| 16613    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Oct 09B | 300,000,000 | 2009/04/03 | 2009/10/29 | 75.00          |
| 16614    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Oct 09C | 300,000,000 | 2009/04/03 | 2009/10/29 | 75.00          |
| 15351#   | CC Rabobank B.A. - A50 China European Put Warrants Jul 2009  | 150,000,000 | 2009/04/03 | 2009/07/29 | 15.90          |
| 16625    | Deutsche Bank AG - CNOOC European Warrants Dec 2009 B        | 300,000,000 | 2009/04/06 | 2009/12/30 | 45.00          |
| 16626    | Deutsche Bank AG - HSBC European Put Warrants Oct 2009 D     | 150,000,000 | 2009/04/06 | 2009/10/12 | 97.50          |
| 16627    | Deutsche Bank AG - ICBC European Warrants Oct 2009 A         | 200,000,000 | 2009/04/06 | 2009/10/12 | 92.00          |
| 16628    | Deutsche Bank AG - ICBC European Warrants Oct 2009 B         | 200,000,000 | 2009/04/06 | 2009/10/27 | 58.00          |
| 16624    | KBC Fin Products Int'l Ltd. - HSCEI Euro Put Wts Nov 2009 C  | 400,000,000 | 2009/04/06 | 2009/11/27 | 100.00         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 16623    | KBC Fin Products Int'l Ltd. - PetroChina Eur Put Wt Nov 2009 | 408,000,000 | 2009/04/06 | 2009/11/18 | 61.20         |
| 16639    | ABN AMRO Bank N.V. - ICBC European Warrants Oct 2009 A       | 100,000,000 | 2009/04/07 | 2009/10/27 | 46.90         |
| 16635    | Deutsche Bank AG - BOCL European Warrants Oct 2009 A         | 200,000,000 | 2009/04/07 | 2009/10/12 | 50.00         |
| 16630    | Deutsche Bank AG - CC Bank European Warrants Oct 2009 A      | 200,000,000 | 2009/04/07 | 2009/10/12 | 89.00         |
| 16631    | Deutsche Bank AG - CC Bank European Warrants Oct 2009 B      | 200,000,000 | 2009/04/07 | 2009/10/27 | 53.00         |
| 16636    | Deutsche Bank AG - China Life European Warrants Oct 2009 C   | 300,000,000 | 2009/04/07 | 2009/10/12 | 132.00        |
| 16637    | Deutsche Bank AG - China Life European Warrants Oct 2009 D   | 300,000,000 | 2009/04/07 | 2009/10/27 | 114.00        |
| 16629    | Deutsche Bank AG - HSI European Put Warrants Oct 2009 D      | 300,000,000 | 2009/04/07 | 2009/10/29 | 90.00         |
| 16633    | Deutsche Bank AG - HSI European Warrants Oct 2009 A          | 300,000,000 | 2009/04/07 | 2009/10/29 | 75.00         |
| 16634    | Deutsche Bank AG - HSI European Warrants Oct 2009 B          | 300,000,000 | 2009/04/07 | 2009/10/29 | 75.00         |
| 16632    | Deutsche Bank AG - ICBC European Put Warrants Oct 2009       | 200,000,000 | 2009/04/07 | 2009/10/12 | 64.00         |
| 16638    | KBC Fin Products Int'l Ltd. - Sinopec Euro Wts Oct 2009 E    | 208,000,000 | 2009/04/07 | 2009/10/16 | 99.84         |
| 16653    | BNP Paribas Arbit Issu B.V. - BOCL European Wts Nov 2009 B   | 200,000,000 | 2009/04/08 | 2009/11/03 | 54.00         |
| 16655    | BNP Paribas Arbit Issu B.V. - HSBC European Put Wts Aug 2010 | 200,000,000 | 2009/04/08 | 2010/08/03 | 50.00         |
| 16651    | Deutsche Bank AG - Sinopec Corp European Warrants Oct 2009 B | 150,000,000 | 2009/04/08 | 2009/10/12 | 78.00         |
| 16652    | Deutsche Bank AG - A50 China European Put Wts Nov 2009       | 200,000,000 | 2009/04/08 | 2009/11/09 | 50.00         |
| 16650    | Deutsche Bank AG - HSCEI European Warrants Oct 2009          | 200,000,000 | 2009/04/08 | 2009/10/29 | 50.00         |
| 16654    | Deutsche Bank AG - HSCEI European Put Warrants Oct 2009      | 200,000,000 | 2009/04/08 | 2009/10/29 | 50.00         |
| 16640    | Macquarie Bank Ltd. - BOCL European Warrants Oct 2009        | 150,000,000 | 2009/04/08 | 2009/10/29 | 40.65         |
| 16644    | Macquarie Bank Ltd. - BOCL European Put Warrants Oct 2009    | 150,000,000 | 2009/04/08 | 2009/10/29 | 46.65         |
| 16642    | Macquarie Bank Ltd. - Ping An European Warrants Dec 2009     | 100,000,000 | 2009/04/08 | 2009/12/30 | 49.10         |
| 16641    | Macquarie Bank Ltd. - Tencent European Warrants Dec 2009     | 150,000,000 | 2009/04/08 | 2009/12/21 | 27.60         |
| 16643    | SGA Societe Generale Acceptance N.V. - CCB Eur Wt Dec 2009 C | 150,000,000 | 2009/04/08 | 2009/12/21 | 78.00         |
| 16645    | SGA Societe Generale Acceptance N.V. - CLife Eu Wt Nov 2009C | 250,000,000 | 2009/04/08 | 2009/11/16 | 85.00         |
| 16646    | SGA Societe Generale Acceptance N.V. - CTel Eu Wt Dec 2009 B | 150,000,000 | 2009/04/08 | 2009/12/07 | 58.50         |
| 16647    | SGA Societe Generale Acceptance N.V. - HSBC Eu Wt Nov 2009   | 200,000,000 | 2009/04/08 | 2009/11/16 | 110.00        |
| 16648    | SGA Societe Generale Acceptance N.V. - HSBC Eu Wt Jan 2010 C | 200,000,000 | 2009/04/08 | 2010/01/11 | 104.00        |
| 16649    | SGA Societe Generale Acceptance N.V. - ICBC Eu Wt Nov 2009 B | 150,000,000 | 2009/04/08 | 2009/11/09 | 69.00         |
| 16656    | ABN AMRO Bank N.V. - HKEx European Put Warrants Dec 2009 A   | 300,000,000 | 2009/04/09 | 2009/12/21 | 47.40         |
| 16668    | ABN AMRO Bank N.V. - HSI European Put Warrants Jul 2009      | 400,000,000 | 2009/04/09 | 2009/07/30 | 77.60         |
| 16669    | BNP Paribas Arbit Issu B.V. - BOCL European Wts Oct 2009     | 200,000,000 | 2009/04/09 | 2009/10/12 | 50.00         |
| 16670    | BNP Paribas Arbit Issu B.V. - HSBC European Wts Dec 2010     | 200,000,000 | 2009/04/09 | 2010/12/20 | 30.00         |
| 16667    | Deutsche Bank AG - HSI European Warrants Oct 2009 C          | 300,000,000 | 2009/04/09 | 2009/10/29 | 75.00         |
| 16671    | Deutsche Bank AG - HSI European Put Warrants Oct 2009 E      | 300,000,000 | 2009/04/09 | 2009/10/29 | 99.00         |
| 16659    | HK Bank - PetroChina European Warrants Nov 2010              | 180,000,000 | 2009/04/09 | 2010/11/11 | 45.00         |
| 16660    | HK Bank - PetroChina European Warrants Dec 2010              | 180,000,000 | 2009/04/09 | 2010/12/30 | 45.00         |
| 16661    | HK Bank - PetroChina European Warrants Jun 2011              | 180,000,000 | 2009/04/09 | 2011/06/22 | 45.00         |
| 16657    | Macquarie Bank Ltd. - BOCHK European Warrants Oct 2010 A     | 100,000,000 | 2009/04/09 | 2010/10/28 | 25.00         |
| 16658    | Macquarie Bank Ltd. - HSBC European Put Warrants Dec 2010    | 100,000,000 | 2009/04/09 | 2010/12/30 | 25.40         |
| 16664    | CC Rabobank B.A. - A50 China European Warrants Jan 2010      | 100,000,000 | 2009/04/09 | 2010/01/29 | 25.00         |
| 16665    | CC Rabobank B.A. - A50 China European Put Warrants Nov 2009  | 100,000,000 | 2009/04/09 | 2009/11/27 | 25.00         |
| 16662    | CC Rabobank B.A. - HSI European Warrants Oct 2009 C          | 108,000,000 | 2009/04/09 | 2009/10/29 | 27.00         |
| 16663    | CC Rabobank B.A. - HSI European Warrants Nov 2009 B          | 108,000,000 | 2009/04/09 | 2009/11/27 | 27.00         |
| 16666    | CC Rabobank B.A. - HSI European Put Warrants Oct 2009 E      | 108,000,000 | 2009/04/09 | 2009/10/29 | 35.64         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 15994#   | ABN AMRO Bank N.V. - HSI European Put Warrants Jun 2009      | 300,000,000 | 2009/04/09 | 2009/06/29 | 32.70         |
| 16678    | ABN AMRO Bank N.V. - HSI European Warrants Sep 2009 A        | 300,000,000 | 2009/04/14 | 2009/09/29 | 45.90         |
| 16672    | BNP Paribas Arbit Issu B.V. - HSBC European Put Wts Oct 09 E | 200,000,000 | 2009/04/14 | 2009/10/14 | 134.00        |
| 16677    | Deutsche Bank AG - HKEx European Warrants Dec 2009 A         | 300,000,000 | 2009/04/14 | 2009/12/28 | 75.00         |
| 16674    | Goldman Sachs SP (Asia) - China Life Euro Wts Oct 2009 B     | 200,000,000 | 2009/04/14 | 2009/10/29 | 68.00         |
| 16673    | Goldman Sachs SP (Asia) - A50 China European Wts Dec 2009    | 200,000,000 | 2009/04/14 | 2009/12/30 | 50.00         |
| 16675    | Goldman Sachs SP (Asia) - HSI European Warrants Oct 2009 A   | 200,000,000 | 2009/04/14 | 2009/10/29 | 50.00         |
| 16676    | Goldman Sachs SP (Asia) - HSI European Put Wts Nov 2009 A    | 200,000,000 | 2009/04/14 | 2009/11/27 | 50.00         |
| 16192#   | CC Rabobank B.A. - HSBC European Put Warrants Sep 2009 B     | 300,000,000 | 2009/04/14 | 2009/09/29 | 41.10         |
| 16695    | ABN AMRO Bank N.V. - HSBC European Put Warrants Oct 2009     | 68,000,000  | 2009/04/15 | 2009/10/19 | 56.17         |
| 16693    | BNP Paribas Arbit Issu B.V. - HKEx European Wts Dec 2009 B   | 300,000,000 | 2009/04/15 | 2009/12/02 | 48.00         |
| 16698    | BNP Paribas Arbit Issu B.V. - HKEx European Put Wts Nov 09 B | 300,000,000 | 2009/04/15 | 2009/11/03 | 84.00         |
| 16692    | BNP Paribas Arbit Issu B.V. - HSI European Wts Oct 2009 B    | 300,000,000 | 2009/04/15 | 2009/10/29 | 78.00         |
| 16696    | BNP Paribas Arbit Issu B.V. - HSI Euro Put Wts Oct 2009 C    | 300,000,000 | 2009/04/15 | 2009/10/29 | 78.00         |
| 16697    | BNP Paribas Arbit Issu B.V. - HSI Euro Put Wts Oct 2009 D    | 300,000,000 | 2009/04/15 | 2009/10/29 | 87.00         |
| 16683    | Credit Suisse - A50 China European Put Warrants Dec 2009     | 200,000,000 | 2009/04/15 | 2009/12/14 | 50.00         |
| 16694    | Credit Suisse - HSBC European Put Warrants Sep 2010          | 200,000,000 | 2009/04/15 | 2010/09/01 | 30.00         |
| 16688    | Deutsche Bank AG - CC Bank European Warrants Dec 2009 B      | 200,000,000 | 2009/04/15 | 2009/12/07 | 84.00         |
| 16690    | Deutsche Bank AG - A50 China European Warrants Oct 2009 B    | 200,000,000 | 2009/04/15 | 2009/10/27 | 54.00         |
| 16689    | Deutsche Bank AG - HKEx European Warrants Dec 2009 B         | 300,000,000 | 2009/04/15 | 2009/12/30 | 45.00         |
| 16687    | Deutsche Bank AG - HSI European Warrants Oct 2009 F          | 300,000,000 | 2009/04/15 | 2009/10/29 | 78.00         |
| 16691    | Deutsche Bank AG - HSI European Put Warrants Oct 2009 G      | 300,000,000 | 2009/04/15 | 2009/10/29 | 90.00         |
| 16684    | Macquarie Bank Ltd. - Sinopec Corp European Wts Oct 2009 C   | 200,000,000 | 2009/04/15 | 2009/10/29 | 129.80        |
| 16685    | Macquarie Bank Ltd. - HKEx European Warrants Dec 2009 B      | 250,000,000 | 2009/04/15 | 2009/12/30 | 62.50         |
| 16686    | Macquarie Bank Ltd. - HSCEI European Warrants Dec 2009 B     | 200,000,000 | 2009/04/15 | 2009/12/30 | 50.40         |
| 16682    | SGA Societe Generale Acceptance N.V. - CP&CC Eur Wt Aug 2010 | 300,000,000 | 2009/04/15 | 2010/08/23 | 52.20         |
| 16679    | SGA Societe Generale Acceptance N.V. - HSBC Eu Wt Jun 2010 A | 400,000,000 | 2009/04/15 | 2010/06/07 | 62.80         |
| 16680    | SGA Societe Generale Acceptance N.V. - HSBC Eu Wt Dec 2010   | 400,000,000 | 2009/04/15 | 2010/12/20 | 63.60         |
| 16681    | SGA Societe Generale Acceptance N.V. - HSBC Eu Put Wt Nov09B | 400,000,000 | 2009/04/15 | 2009/11/25 | 84.80         |
| 16404#   | Deutsche Bank AG - HSI European Put Warrants Jul 2009 I      | 300,000,000 | 2009/04/15 | 2009/07/30 | 34.80         |
| 16708    | HK Bank - BOCL European Warrants Mar 2010                    | 180,000,000 | 2009/04/16 | 2010/03/12 | 82.80         |
| 16709    | HK Bank - China Life European Warrants Jan 2010              | 280,000,000 | 2009/04/16 | 2010/01/15 | 112.00        |
| 16710    | HK Bank - CNOOC European Warrants Mar 2010                   | 280,000,000 | 2009/04/16 | 2010/03/12 | 70.00         |
| 16711    | HK Bank - ICBC European Warrants Jan 2010                    | 180,000,000 | 2009/04/16 | 2010/01/15 | 144.00        |
| 16712    | HK Bank - Zijin Mining European Warrants Aug 2010            | 180,000,000 | 2009/04/16 | 2010/08/12 | 45.00         |
| 16700    | Macquarie Bank Ltd. - Cheung Kong European Warrants Sep 2010 | 300,000,000 | 2009/04/16 | 2010/09/29 | 75.00         |
| 16699    | Macquarie Bank Ltd. - A50 China European Warrants Dec 2009 B | 200,000,000 | 2009/04/16 | 2009/12/30 | 50.00         |
| 16702    | Macquarie Bank Ltd. - HSI European Warrants Oct 2009 A       | 250,000,000 | 2009/04/16 | 2009/10/29 | 63.25         |
| 16701    | Macquarie Bank Ltd. - Shimao Ppt European Warrants Mar 2010  | 120,000,000 | 2009/04/16 | 2010/03/30 | 30.24         |
| 16704    | SGA Societe Generale Acceptance N.V. - BOCL Eu Wt Nov 2009 C | 200,000,000 | 2009/04/16 | 2009/11/16 | 50.00         |
| 16705    | SGA Societe Generale Acceptance N.V. - CCB Eur Wt Nov 2009 C | 100,000,000 | 2009/04/16 | 2009/11/30 | 62.00         |
| 16706    | SGA Societe Generale Acceptance N.V. - HKEx Eu Wt Nov 2009   | 500,000,000 | 2009/04/16 | 2009/11/23 | 75.50         |
| 16703    | SGA Societe Generale Acceptance N.V. - HSCEI Eu Wt Nov 2009  | 200,000,000 | 2009/04/16 | 2009/11/27 | 50.00         |
| 16707    | SGA Societe Generale Acceptance N.V. -HSCEI Eu Put Wt Nov 09 | 200,000,000 | 2009/04/16 | 2009/11/27 | 50.00         |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 16713    | SGA Societe Generale Acceptance N.V. - HSI Eur Wt Oct 2009 E | 300,000,000 | 2009/04/17 | 2009/10/29 | 75.00         |
| 16714    | SGA Societe Generale Acceptance N.V. - HSI Eur Wt Oct 2009 F | 300,000,000 | 2009/04/17 | 2009/10/29 | 75.00         |
| 16717    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Oct 09G | 300,000,000 | 2009/04/17 | 2009/10/29 | 97.50         |
| 16718    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Oct 09H | 300,000,000 | 2009/04/17 | 2009/10/29 | 112.50        |
| 16715    | SGA Societe Generale Acceptance N.V. - HWL Eur Wt Dec 2009   | 200,000,000 | 2009/04/17 | 2009/12/14 | 166.00        |
| 16716    | SGA Societe Generale Acceptance N.V. - ICBC Eu Wt Dec 2009 B | 150,000,000 | 2009/04/17 | 2009/12/14 | 127.50        |
| 16719    | UBS AG - A50 China European Warrants Jan 2010                | 500,000,000 | 2009/04/17 | 2010/01/18 | 125.00        |
| 16720    | UBS AG - A50 China European Warrants Mar 2010 A              | 500,000,000 | 2009/04/17 | 2010/03/29 | 125.00        |
| 16721    | UBS AG - A50 China European Put Warrants Oct 2009            | 500,000,000 | 2009/04/17 | 2009/10/27 | 125.00        |
| 16731    | Deutsche Bank AG - BOCL European Put Warrants Oct 2009       | 100,000,000 | 2009/04/20 | 2009/10/27 | 31.00         |
| 16727    | Deutsche Bank AG - BOCL European Warrants Oct 2009 B         | 150,000,000 | 2009/04/20 | 2009/10/27 | 37.50         |
| 16729    | KBC Fin Products Int'l Ltd. - HSI European Wts Nov 2009 A    | 400,000,000 | 2009/04/20 | 2009/11/27 | 100.00        |
| 16733    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Nov 2009 E    | 400,000,000 | 2009/04/20 | 2009/11/27 | 100.00        |
| 16728    | KBC Fin Products Int'l Ltd. - HSI European Wts Oct 2009 H    | 400,000,000 | 2009/04/20 | 2009/10/29 | 100.00        |
| 16732    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Oct 2009 I    | 400,000,000 | 2009/04/20 | 2009/10/29 | 100.00        |
| 16722    | UBS AG - China Coal European Warrants Jul 2011               | 300,000,000 | 2009/04/20 | 2011/07/25 | 75.00         |
| 16723    | UBS AG - CM Bank European Warrants Apr 2010                  | 300,000,000 | 2009/04/20 | 2010/04/26 | 75.00         |
| 16724    | UBS AG - CM Bank European Warrants Dec 2010                  | 300,000,000 | 2009/04/20 | 2010/12/20 | 75.00         |
| 16725    | UBS AG - China Shenhua European Warrants Oct 2010            | 300,000,000 | 2009/04/20 | 2010/10/04 | 75.00         |
| 16726    | UBS AG - HSBC European Put Warrants Sep 2010                 | 500,000,000 | 2009/04/20 | 2010/09/06 | 75.00         |
| 16730    | BOCI Asia Ltd. - China Life European Warrants Oct 2009       | 200,000,000 | 2009/04/21 | 2009/10/29 | 86.00         |
| 16735    | BOCI Asia Ltd. - HSI European Warrants Oct 2009              | 200,000,000 | 2009/04/21 | 2009/10/29 | 50.00         |
| 16734    | BOCI Asia Ltd. - ICBC European Warrants Oct 2009             | 100,000,000 | 2009/04/21 | 2009/10/29 | 55.00         |
| 16737    | Deutsche Bank AG - China Life European Warrants Dec 2009 C   | 300,000,000 | 2009/04/21 | 2009/12/28 | 78.00         |
| 16738    | Deutsche Bank AG - CNOOC European Warrants Dec 2009 C        | 300,000,000 | 2009/04/21 | 2009/12/28 | 75.00         |
| 16741    | Deutsche Bank AG - A50 China European Warrants Mar 2010 A    | 300,000,000 | 2009/04/21 | 2010/03/08 | 75.00         |
| 16739    | Deutsche Bank AG - HKEx European Warrants Dec 2009 C         | 300,000,000 | 2009/04/21 | 2009/12/21 | 45.00         |
| 16742    | Deutsche Bank AG - HSBC European Warrants Jun 2010           | 300,000,000 | 2009/04/21 | 2010/06/14 | 75.00         |
| 16746    | Deutsche Bank AG - HSBC European Put Warrants Oct 2009 E     | 200,000,000 | 2009/04/21 | 2009/10/27 | 50.00         |
| 16736    | Deutsche Bank AG - HSI European Warrants Oct 2009 H          | 300,000,000 | 2009/04/21 | 2009/10/29 | 75.00         |
| 16740    | Deutsche Bank AG - HSI European Put Warrants Oct 2009 I      | 300,000,000 | 2009/04/21 | 2009/10/29 | 90.00         |
| 16758    | Goldman Sachs SP (Asia) - HSCEI European Warrants Nov 2009   | 200,000,000 | 2009/04/22 | 2009/11/27 | 50.00         |
| 16762    | Goldman Sachs SP (Asia) - HSCEI European Put Wts Nov 2009    | 200,000,000 | 2009/04/22 | 2009/11/27 | 50.00         |
| 16763    | Goldman Sachs SP (Asia) - HSI European Put Wts Oct 2009      | 200,000,000 | 2009/04/22 | 2009/10/29 | 50.00         |
| 16759    | Goldman Sachs SP (Asia) - HSI European Warrants Oct 2009 B   | 200,000,000 | 2009/04/22 | 2009/10/29 | 50.00         |
| 16744    | J P Morgan SP BV - A50 China European Warrants Feb 2010      | 88,000,000  | 2009/04/22 | 2010/02/25 | 23.41         |
| 16745    | Macquarie Bank Ltd. - Bank of EA European Warrants Dec 2009  | 100,000,000 | 2009/04/22 | 2009/12/30 | 25.00         |
| 16747    | Macquarie Bank Ltd. - HSI European Put Warrants Oct 2009     | 200,000,000 | 2009/04/22 | 2009/10/29 | 50.00         |
| 16743    | Macquarie Bank Ltd. - HSI European Warrants Oct 2009 B       | 200,000,000 | 2009/04/22 | 2009/10/29 | 50.00         |
| 16748    | CC Rabobank B.A. - BOCL European Warrants Nov 2009 A         | 80,000,000  | 2009/04/22 | 2009/11/27 | 31.20         |
| 16749    | CC Rabobank B.A. - CC Bank European Warrants Nov 2009        | 80,000,000  | 2009/04/22 | 2009/11/27 | 46.40         |
| 16750    | CC Rabobank B.A. - Sinopec Corp European Warrants Nov 2009   | 80,000,000  | 2009/04/22 | 2009/11/06 | 68.00         |
| 16751    | CC Rabobank B.A. - HKEx European Put Warrants May 2010       | 200,000,000 | 2009/04/22 | 2010/05/20 | 50.00         |
| 16754    | CC Rabobank B.A. - HSBC European Warrants Jul 2010           | 200,000,000 | 2009/04/22 | 2010/07/26 | 32.00         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 16752    | CC Rabobank B.A. - HSBC European Put Warrants Nov 2009       | 200,000,000 | 2009/04/22 | 2009/11/25 | 38.00         |
| 16753    | CC Rabobank B.A. - HSBC European Put Warrants May 2010       | 200,000,000 | 2009/04/22 | 2010/05/24 | 50.00         |
| 16755    | CC Rabobank B.A. - Hutchison European Warrants Dec 2009 A    | 50,000,000  | 2009/04/22 | 2009/12/30 | 33.00         |
| 16756    | CC Rabobank B.A. - ICBC European Warrants Nov 2009 B         | 80,000,000  | 2009/04/22 | 2009/11/27 | 48.00         |
| 16757    | CC Rabobank B.A. - ICBC European Warrants Dec 2009 B         | 80,000,000  | 2009/04/22 | 2009/12/30 | 40.00         |
| 16433#   | Macquarie Bank Ltd. - ICBC European Put Warrants Sep 2009    | 170,000,000 | 2009/04/22 | 2009/09/29 | 16.32         |
| 16781    | BNP Paribas Arbit Issu B.V. - Ch Mobile Euro Wts Dec 2010    | 200,000,000 | 2009/04/23 | 2010/12/02 | 50.00         |
| 16780    | BNP Paribas Arbit Issu B.V. - HSCEI European Wts Oct 2009    | 200,000,000 | 2009/04/23 | 2009/10/29 | 50.00         |
| 16784    | BNP Paribas Arbit Issu B.V. - HSCEI Euro Put Wts Oct 2009    | 200,000,000 | 2009/04/23 | 2009/10/29 | 50.00         |
| 16768    | KBC Fin Products Int'l Ltd. - BOCL European Wts Nov 2009 D   | 400,000,000 | 2009/04/23 | 2009/11/02 | 100.00        |
| 16769    | KBC Fin Products Int'l Ltd. - Ch Mobile Euro Wt Nov 2009     | 438,000,000 | 2009/04/23 | 2009/11/23 | 88.91         |
| 16770    | KBC Fin Products Int'l Ltd. - Ch Mobile Euro Wt Apr 2010 A   | 438,000,000 | 2009/04/23 | 2010/04/12 | 65.70         |
| 16773    | KBC Fin Products Int'l Ltd. - Ch Mobile Euro Wt Oct 2010     | 438,000,000 | 2009/04/23 | 2010/10/08 | 65.70         |
| 16775    | KBC Fin Products Int'l Ltd. - CNOOC Euro Put Wts Nov 2009 B  | 400,000,000 | 2009/04/23 | 2009/11/09 | 60.00         |
| 16774    | KBC Fin Products Int'l Ltd. - Sinopec Euro Wts Aug 2010      | 438,000,000 | 2009/04/23 | 2010/08/23 | 84.97         |
| 16778    | KBC Fin Products Int'l Ltd. - A50 Ch Euro Wts Dec 2009       | 400,000,000 | 2009/04/23 | 2009/12/22 | 100.00        |
| 16779    | KBC Fin Products Int'l Ltd. - A50 Ch Euro Wts Jan 2010 A     | 400,000,000 | 2009/04/23 | 2010/01/18 | 100.00        |
| 16776    | KBC Fin Products Int'l Ltd. - HSBC European Wts May 2010     | 400,000,000 | 2009/04/23 | 2010/05/03 | 100.00        |
| 16777    | KBC Fin Products Int'l Ltd. - HSBC Euro Put Wts Dec 2009 B   | 138,000,000 | 2009/04/23 | 2009/12/04 | 96.60         |
| 16766    | KBC Fin Products Int'l Ltd. - HSI European Wts Oct 2009 J    | 400,000,000 | 2009/04/23 | 2009/10/29 | 100.00        |
| 16767    | KBC Fin Products Int'l Ltd. - HSI European Wts Oct 2009 K    | 400,000,000 | 2009/04/23 | 2009/10/29 | 100.00        |
| 16771    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Oct 2009 L    | 400,000,000 | 2009/04/23 | 2009/10/29 | 100.00        |
| 16772    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Oct 2009 M    | 400,000,000 | 2009/04/23 | 2009/10/29 | 100.00        |
| 16760    | SGA Societe Generale Acceptance N.V. - HSCEI Eu Wt Oct 2009A | 200,000,000 | 2009/04/23 | 2009/10/29 | 50.00         |
| 16761    | SGA Societe Generale Acceptance N.V. - HSCEI Eu Wt Oct 2009B | 200,000,000 | 2009/04/23 | 2009/10/29 | 50.00         |
| 16764    | SGA Societe Generale Acceptance N.V. -HSCEI Eu Put Wt Oct09C | 200,000,000 | 2009/04/23 | 2009/10/29 | 50.00         |
| 16765    | SGA Societe Generale Acceptance N.V. -HSCEI Eu Put Wt Oct09D | 200,000,000 | 2009/04/23 | 2009/10/29 | 50.00         |
| 15188#   | SGA Societe Generale Acceptance N.V. - A50 Ch Eu Wt Jun09A   | 200,000,000 | 2009/04/23 | 2009/06/08 | 11.60         |
| 16786    | ABN AMRO Bank N.V. - BOCL European Put Warrants Oct 2009     | 100,000,000 | 2009/04/24 | 2009/10/27 | 25.40         |
| 16787    | ABN AMRO Bank N.V. - HSI European Put Warrants Oct 2009 A    | 400,000,000 | 2009/04/24 | 2009/10/29 | 102.40        |
| 16789    | ABN AMRO Bank N.V. - ICBC European Put Warrants Oct 2009     | 100,000,000 | 2009/04/24 | 2009/10/27 | 25.00         |
| 16785    | ABN AMRO Bank N.V. - ICBC European Warrants Oct 2009 B       | 100,000,000 | 2009/04/24 | 2009/10/29 | 34.60         |
| 16783    | Macquarie Bank Ltd. - China Mobile European Wts Apr 2010 A   | 250,000,000 | 2009/04/24 | 2010/04/15 | 37.50         |
| 16804    | Macquarie Bank Ltd. - BOCHK European Warrants Oct 2010 B     | 150,000,000 | 2009/04/27 | 2010/10/28 | 37.50         |
| 16791    | Macquarie Bank Ltd. - China COSCO European Warrants May 2010 | 150,000,000 | 2009/04/27 | 2010/05/28 | 37.80         |
| 16790    | Macquarie Bank Ltd. - China Coal European Warrants Jun 2010  | 150,000,000 | 2009/04/27 | 2010/06/29 | 37.50         |
| 16788    | Macquarie Bank Ltd. - Cheung Kong European Warrants Oct 2009 | 100,000,000 | 2009/04/27 | 2009/10/29 | 65.40         |
| 16793    | Macquarie Bank Ltd. - China Shenhua European Wts Dec 2009    | 150,000,000 | 2009/04/27 | 2009/12/30 | 45.75         |
| 16794    | Macquarie Bank Ltd. - Henderson Land Dev Euro Wts Oct 2009   | 100,000,000 | 2009/04/27 | 2009/10/29 | 40.60         |
| 16805    | Macquarie Bank Ltd. - HSCEI European Put Warrants Nov 2009 A | 200,000,000 | 2009/04/27 | 2009/11/27 | 50.00         |
| 16792    | Macquarie Bank Ltd. - ICBC European Warrants Oct 2009        | 100,000,000 | 2009/04/27 | 2009/10/29 | 38.80         |
| 16796    | Macquarie Bank Ltd. - ICBC European Put Warrants Oct 2009    | 100,000,000 | 2009/04/27 | 2009/10/29 | 25.60         |
| 16795    | Macquarie Bank Ltd. - Yanzhou Coal European Wts Mar 2010     | 150,000,000 | 2009/04/27 | 2010/03/30 | 38.40         |
| 16808    | SGA Societe Generale Acceptance N.V. - CHALCO Eu Wt Nov 2009 | 200,000,000 | 2009/04/27 | 2009/11/16 | 30.20         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 16797    | SGA Societe Generale Acceptance N.V. - BOCL Eu Wt Oct 2009 D | 200,000,000 | 2009/04/27 | 2009/10/28 | 50.00         |
| 16798    | SGA Societe Generale Acceptance N.V. - CP&CC Eur Wt Nov 09 C | 100,000,000 | 2009/04/27 | 2009/11/18 | 84.00         |
| 16799    | SGA Societe Generale Acceptance N.V. - CP&CC Eur Wt Jun 2010 | 100,000,000 | 2009/04/27 | 2010/06/07 | 149.00        |
| 16806    | SGA Societe Generale Acceptance N.V. - Shenhua Eu Wt Jan2010 | 150,000,000 | 2009/04/27 | 2010/01/18 | 75.00         |
| 16807    | SGA Societe Generale Acceptance N.V. - Datang Eu Wt Nov 2009 | 80,000,000  | 2009/04/27 | 2009/11/30 | 60.80         |
| 16800    | SGA Societe Generale Acceptance N.V. - A50 Ch Eu Wt Dec 09 C | 500,000,000 | 2009/04/27 | 2009/12/30 | 89.00         |
| 16801    | SGA Societe Generale Acceptance N.V. - Petch Eu Wt Oct 2009D | 300,000,000 | 2009/04/27 | 2009/10/28 | 45.00         |
| 16802    | SGA Societe Generale Acceptance N.V. - Petch Eu Wt Dec 2010  | 300,000,000 | 2009/04/27 | 2010/12/22 | 57.90         |
| 16803    | SGA Societe Generale Acceptance N.V. - Petch Eu Put Wt Nov09 | 300,000,000 | 2009/04/27 | 2009/11/16 | 50.70         |
| 16666#   | CC Rabobank B.A. - HSI European Put Warrants Oct 2009 E      | 200,000,000 | 2009/04/27 | 2009/10/29 | 36.60         |
| 16814    | ABN AMRO Bank N.V. - HSI European Warrants Oct 2009          | 300,000,000 | 2009/04/28 | 2009/10/29 | 75.00         |
| 16811    | Deutsche Bank AG - BOCL European Warrants Nov 2009 B         | 200,000,000 | 2009/04/28 | 2009/11/09 | 52.00         |
| 16812    | Deutsche Bank AG - CC Bank European Put Warrants Nov 2009    | 150,000,000 | 2009/04/28 | 2009/11/02 | 66.00         |
| 16813    | Deutsche Bank AG - Sinopec Corp European Warrants Nov 2009 B | 200,000,000 | 2009/04/28 | 2009/11/02 | 144.00        |
| 16782    | Macquarie Bank Ltd. - Huaneng Power European Wts Jan 2010    | 200,000,000 | 2009/04/28 | 2010/01/18 | 30.20         |
| 16809    | SGA Societe Generale Acceptance N.V. - Ch Mob Eu Wt Nov 2009 | 800,000,000 | 2009/04/28 | 2009/11/09 | 120.80        |
| 16810    | SGA Societe Generale Acceptance N.V. - HKEx Eu Put Wt Nov 09 | 500,000,000 | 2009/04/28 | 2009/11/18 | 125.50        |
| 16343#   | Macquarie Bank Ltd. - China Mobile European Wts Dec 2009     | 200,000,000 | 2009/04/28 | 2009/12/30 | 17.60         |
| 15838#   | Macquarie Bank Ltd. - China Unicom European Wts Dec 2009 A   | 150,000,000 | 2009/04/28 | 2009/12/30 | 11.70         |
| 16818    | Macquarie Bank Ltd. - CNOOC European Warrants Dec 2010       | 100,000,000 | 2009/04/29 | 2010/12/30 | 25.10         |
| 16819    | Macquarie Bank Ltd. - HSBC European Warrants Apr 2010        | 100,000,000 | 2009/04/29 | 2010/04/19 | 15.50         |
| 16815    | Macquarie Bank Ltd. - MTRC European Warrants Feb 2010        | 200,000,000 | 2009/04/29 | 2010/02/25 | 50.40         |
| 16816    | CC Rabobank B.A. - China Life European Warrants Nov 2009     | 80,000,000  | 2009/04/29 | 2009/11/20 | 36.00         |
| 16820    | CC Rabobank B.A. - China Life European Put Warrants Nov 2009 | 80,000,000  | 2009/04/29 | 2009/11/20 | 34.40         |
| 16817    | CC Rabobank B.A. - CM Bank European Warrants Dec 2009        | 80,000,000  | 2009/04/29 | 2009/12/04 | 26.40         |
| 16835    | ABN AMRO Bank N.V. - HKEx European Put Warrants Oct 2009     | 300,000,000 | 2009/04/30 | 2009/10/12 | 45.00         |
| 16830    | J P Morgan SP BV - BEA European Warrants Nov 2009            | 88,000,000  | 2009/04/30 | 2009/11/27 | 22.53         |
| 16832    | J P Morgan SP BV - China Unicom European Warrants Dec 2009   | 108,000,000 | 2009/04/30 | 2009/12/30 | 27.11         |
| 16831    | J P Morgan SP BV - CM Bank European Warrants Mar 2010        | 88,000,000  | 2009/04/30 | 2010/03/30 | 23.50         |
| 16833    | J P Morgan SP BV - Ping An European Warrants Jun 2010        | 188,000,000 | 2009/04/30 | 2010/06/29 | 29.52         |
| 16834    | J P Morgan SP BV - Yanzhou Coal European Warrants Jun 2010   | 188,000,000 | 2009/04/30 | 2010/06/29 | 47.56         |
| 16826    | CC Rabobank B.A. - HSI European Warrants Sep 2009 C          | 120,000,000 | 2009/04/30 | 2009/09/29 | 19.80         |
| 16827    | CC Rabobank B.A. - HSI European Warrants Sep 2009 D          | 120,000,000 | 2009/04/30 | 2009/09/29 | 22.68         |
| 16828    | CC Rabobank B.A. - HSI European Put Warrants Oct 2009 F      | 120,000,000 | 2009/04/30 | 2009/10/29 | 30.00         |
| 16829    | CC Rabobank B.A. - HSI European Put Warrants Oct 2009 G      | 120,000,000 | 2009/04/30 | 2009/10/29 | 30.00         |
| 16821    | SGA Societe Generale Acceptance N.V. - BOCL Eu Wt Feb 2010   | 150,000,000 | 2009/04/30 | 2010/02/08 | 43.50         |
| 16822    | SGA Societe Generale Acceptance N.V. - BOCL Eu Wt Mar 2010   | 150,000,000 | 2009/04/30 | 2010/03/03 | 67.50         |
| 16823    | SGA Societe Generale Acceptance N.V. - CNOOC Eu Wt Mar 2010  | 300,000,000 | 2009/04/30 | 2010/03/08 | 45.00         |
| 16824    | SGA Societe Generale Acceptance N.V. - CNOOC Eu Wt Jun 2010  | 300,000,000 | 2009/04/30 | 2010/06/23 | 75.00         |
| 16825    | SGA Societe Generale Acceptance N.V. - HSBC Eu Put Wt Aug10A | 400,000,000 | 2009/04/30 | 2010/08/02 | 72.00         |
| 16838    | J P Morgan SP BV - China Life European Warrants Aug 2009     | 188,000,000 | 2009/05/04 | 2009/08/31 | 42.68         |
| 16837    | J P Morgan SP BV - HSBC European Warrants Dec 2010           | 388,000,000 | 2009/05/04 | 2010/12/20 | 62.47         |
| 16836    | Macquarie Bank Ltd. - Datang European Warrants Nov 2009 B    | 40,000,000  | 2009/05/04 | 2009/11/17 | 12.56         |
| 16850    | Deutsche Bank AG - WISE CSI European Put Warrants Nov 2009   | 200,000,000 | 2009/05/05 | 2009/11/09 | 82.00         |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 16846    | Deutsche Bank AG - WISE CSI European Warrants Nov 2009 A     | 200,000,000 | 2009/05/05 | 2009/11/09 | 90.00         |
| 16847    | Deutsche Bank AG - WISE CSI European Warrants Nov 2009 B     | 200,000,000 | 2009/05/05 | 2009/11/16 | 72.00         |
| 16848    | Deutsche Bank AG - WISE CSI European Warrants Nov 2009 C     | 200,000,000 | 2009/05/05 | 2009/11/30 | 98.00         |
| 16854    | KBC Fin Products Int'l Ltd. - BOCL European Wts Dec 2009 A   | 400,000,000 | 2009/05/05 | 2009/12/15 | 100.00        |
| 16855    | KBC Fin Products Int'l Ltd. - HSI European Wts Nov 2009 B    | 400,000,000 | 2009/05/05 | 2009/11/27 | 100.00        |
| 16856    | KBC Fin Products Int'l Ltd. - HSI European Wts Nov 2009 C    | 400,000,000 | 2009/05/05 | 2009/11/27 | 100.00        |
| 16842    | Macquarie Bank Ltd. - Angang Steel European Wts Dec 2009 A   | 150,000,000 | 2009/05/05 | 2009/12/30 | 37.80         |
| 16843    | Macquarie Bank Ltd. - CNBM European Warrants Jan 2010        | 100,000,000 | 2009/05/05 | 2010/01/28 | 25.00         |
| 16844    | Macquarie Bank Ltd. - Dongfeng Motor European Wts Sep 2010   | 100,000,000 | 2009/05/05 | 2010/09/29 | 25.00         |
| 16845    | Macquarie Bank Ltd. - Jiangxi Copper European Wts Jan 2010   | 150,000,000 | 2009/05/05 | 2010/01/28 | 37.80         |
| 16839    | CC Rabobank B.A. - WISE CSI European Warrants Dec 2009 A     | 50,000,000  | 2009/05/05 | 2009/12/08 | 34.50         |
| 16840    | CC Rabobank B.A. - WISE CSI European Warrants Dec 2009 B     | 50,000,000  | 2009/05/05 | 2009/12/08 | 27.50         |
| 16841    | CC Rabobank B.A. - WISE CSI European Warrants Dec 2009 C     | 50,000,000  | 2009/05/05 | 2009/12/08 | 22.00         |
| 16857    | Standard Bank PLC - CC Bank European Warrants Dec 2009       | 100,000,000 | 2009/05/05 | 2009/12/21 | 47.00         |
| 16851    | UBS AG - WISE CSI European Warrants Nov 2009                 | 150,000,000 | 2009/05/05 | 2009/11/30 | 37.50         |
| 16852    | UBS AG - WISE CSI European Warrants Jan 2010                 | 150,000,000 | 2009/05/05 | 2010/01/25 | 37.50         |
| 16853    | UBS AG - WISE CSI European Warrants Apr 2010                 | 150,000,000 | 2009/05/05 | 2010/04/26 | 37.50         |
| 16849    | UBS AG - SHK Ppt European Warrants Nov 2009                  | 300,000,000 | 2009/05/05 | 2009/11/30 | 126.00        |
| 16861    | Deutsche Bank AG - CC Bank European Warrants Nov 2009        | 200,000,000 | 2009/05/06 | 2009/11/30 | 118.00        |
| 16860    | Deutsche Bank AG - China Life European Warrants Nov 2009 C   | 300,000,000 | 2009/05/06 | 2009/11/23 | 165.00        |
| 16864    | Deutsche Bank AG - China Life European Put Wts Nov 2009 D    | 300,000,000 | 2009/05/06 | 2009/11/09 | 78.00         |
| 10869    | Deutsche Bank AG - DJIA European Warrants Dec 2009 C         | 200,000,000 | 2009/05/06 | 2009/12/21 | 50.00         |
| 10873    | Deutsche Bank AG - DJIA European Put Warrants Dec 2009 D     | 200,000,000 | 2009/05/06 | 2009/12/21 | 56.00         |
| 10871    | Deutsche Bank AG - Nikkei 225 Index European Wts Dec 2009 A  | 150,000,000 | 2009/05/06 | 2009/12/11 | 37.50         |
| 10875    | Deutsche Bank AG - Nikkei 225 Index Euro Put Wts Dec 2009 B  | 150,000,000 | 2009/05/06 | 2009/12/11 | 40.50         |
| 16858    | Macquarie Bank Ltd. - China Bluechem European Warrants Nov09 | 80,000,000  | 2009/05/06 | 2009/11/27 | 37.52         |
| 16859    | Macquarie Bank Ltd. - SHK Ppt European Warrants Apr 2010     | 100,000,000 | 2009/05/06 | 2010/04/29 | 95.30         |
| 16002#   | ABN AMRO Bank N.V. - HKEx European Put Warrants Sep 2009     | 200,000,000 | 2009/05/06 | 2009/09/15 | 10.00         |
| 15994#   | ABN AMRO Bank N.V. - HSI European Put Warrants Jun 2009      | 300,000,000 | 2009/05/06 | 2009/06/29 | 20.70         |
| 16862    | ABN AMRO Bank N.V. - CC Bank European Put Warrants Nov 2009  | 100,000,000 | 2009/05/07 | 2009/11/20 | 45.60         |
| 16865    | BNP Paribas Arbit Issu B.V. - HSI European Wts Nov 2009 D    | 300,000,000 | 2009/05/07 | 2009/11/27 | 78.00         |
| 16869    | BNP Paribas Arbit Issu B.V. - HSI Euro Put Wts Nov 2009 B    | 300,000,000 | 2009/05/07 | 2009/11/27 | 75.00         |
| 16866    | Deutsche Bank AG - Cheung Kong European Put Wts Dec 2009     | 200,000,000 | 2009/05/07 | 2009/12/21 | 30.00         |
| 16867    | Deutsche Bank AG - HKEx European Warrants Dec 2009 D         | 200,000,000 | 2009/05/07 | 2009/12/21 | 30.00         |
| 16863    | Macquarie Bank Ltd. - WISE CSI European Warrants Nov 2009    | 200,000,000 | 2009/05/07 | 2009/11/27 | 57.00         |
| 16868    | Merrill Lynch Int'l & Co. C.V. - China Life Eu Wt Nov 2009   | 180,000,000 | 2009/05/07 | 2009/11/09 | 54.00         |
| 16870    | Merrill Lynch Int'l & Co. C.V. - China Life Eu Wt Dec 2009   | 180,000,000 | 2009/05/07 | 2009/12/07 | 37.08         |
| 16871    | Merrill Lynch Int'l & Co. C.V. - China Life Eu Wt May 2010   | 180,000,000 | 2009/05/07 | 2010/05/28 | 126.00        |
| 16872    | Merrill Lynch Int'l & Co. C.V. - Ch Life Eur Put Wt Nov 2009 | 180,000,000 | 2009/05/07 | 2009/11/30 | 52.20         |
| 16882    | Merrill Lynch Int'l & Co. C.V. - HKEx Euro Wts Oct 2010      | 300,000,000 | 2009/05/07 | 2010/10/04 | 75.00         |
| 16883    | Merrill Lynch Int'l & Co. C.V. - HKEx Euro Wts Dec 2010      | 300,000,000 | 2009/05/07 | 2010/12/06 | 75.00         |
| 16874    | Merrill Lynch Int'l & Co. C.V. - HKEx Eur Put Wts Apr 2010   | 300,000,000 | 2009/05/07 | 2010/04/19 | 78.00         |
| 16875    | Merrill Lynch Int'l & Co. C.V. - HKEx Eur Put Wts May 2010   | 300,000,000 | 2009/05/07 | 2010/05/17 | 63.90         |
| 16876    | Merrill Lynch Int'l & Co. C.V. - HKEx Eur Put Wts Oct 2010   | 300,000,000 | 2009/05/07 | 2010/10/04 | 53.40         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 16873    | Merrill Lynch Int'l & Co. C.V. - HKEx Euro Wts Jan 2010 B    | 300,000,000 | 2009/05/07 | 2010/01/25 | 84.00         |
| 16880    | Merrill Lynch Int'l & Co. C.V. - HSBC Euro Wts Mar 2010      | 300,000,000 | 2009/05/07 | 2010/03/29 | 48.60         |
| 16881    | Merrill Lynch Int'l & Co. C.V. - HSBC Euro Put Wt Nov 2009 B | 300,000,000 | 2009/05/07 | 2009/11/09 | 126.00        |
| 16877    | Merrill Lynch Int'l & Co. C.V. - PetroChina Eu Wt Mar 2010   | 180,000,000 | 2009/05/07 | 2010/03/29 | 27.54         |
| 16878    | Merrill Lynch Int'l & Co. C.V. - PetroChina Eu Wt Jun 2011   | 180,000,000 | 2009/05/07 | 2011/06/20 | 28.26         |
| 16879    | Merrill Lynch Int'l & Co. C.V. - PetroChina Eu Put Wt Dec 10 | 180,000,000 | 2009/05/07 | 2010/12/23 | 40.86         |
| 15936#   | Deutsche Bank AG - HSI European Put Warrants Jul 2009 E      | 300,000,000 | 2009/05/07 | 2009/07/30 | 28.50         |
| 16080#   | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Jul 2009 F    | 600,000,000 | 2009/05/07 | 2009/07/30 | 37.20         |
| 16898    | Deutsche Bank AG - HKEx European Put Warrants Nov 2009 A     | 200,000,000 | 2009/05/08 | 2009/11/09 | 50.00         |
| 10874    | Goldman Sachs SP (Asia) - MSCI Taiwan Idx Eur Wt Nov 2009    | 120,000,000 | 2009/05/08 | 2009/11/27 | 44.40         |
| 16884    | Macquarie Bank Ltd. - CITIC Bank European Warrants Dec 2009C | 100,000,000 | 2009/05/08 | 2009/12/30 | 38.90         |
| 16885    | Merrill Lynch Int'l & Co. C.V. - BOCL European Wts Jan 2010A | 200,000,000 | 2009/05/08 | 2010/01/25 | 66.00         |
| 16891    | Merrill Lynch Int'l & Co. C.V. - BOCL European Put Wts Dec09 | 200,000,000 | 2009/05/08 | 2009/12/21 | 64.00         |
| 16892    | Merrill Lynch Int'l & Co. C.V. - Ch Mobile Eu Put Wt Dec 09  | 300,000,000 | 2009/05/08 | 2009/12/07 | 52.20         |
| 16893    | Merrill Lynch Int'l & Co. C.V. - Ch Mobile Eu Put Wt Apr 10  | 300,000,000 | 2009/05/08 | 2010/04/19 | 45.30         |
| 16886    | Merrill Lynch Int'l & Co. C.V. - Ch Mobile Eur Wt Sep 2010 B | 300,000,000 | 2009/05/08 | 2010/09/27 | 45.90         |
| 16887    | Merrill Lynch Int'l & Co. C.V. - HS Bank Euro Wts Mar 2010   | 200,000,000 | 2009/05/08 | 2010/03/29 | 30.00         |
| 16894    | Merrill Lynch Int'l & Co. C.V. - HS Bank Euro Put Wts May 10 | 200,000,000 | 2009/05/08 | 2010/05/24 | 51.00         |
| 16888    | Merrill Lynch Int'l & Co. C.V. - Hutchison Euro Wts Jan 2010 | 200,000,000 | 2009/05/08 | 2010/01/04 | 114.00        |
| 16895    | Merrill Lynch Int'l & Co. C.V. -Hutchison Euro Put Wts Jan10 | 200,000,000 | 2009/05/08 | 2010/01/25 | 146.00        |
| 16889    | Merrill Lynch Int'l & Co. C.V. - ICBC European Wts Nov 2009  | 200,000,000 | 2009/05/08 | 2009/11/30 | 100.00        |
| 16896    | Merrill Lynch Int'l & Co. C.V. - ICBC European Put Wts Nov09 | 200,000,000 | 2009/05/08 | 2009/11/02 | 43.20         |
| 16890    | Merrill Lynch Int'l & Co. C.V. - SHK Ppt Euro Wts Dec 2009   | 200,000,000 | 2009/05/08 | 2009/12/28 | 30.00         |
| 16897    | Merrill Lynch Int'l & Co. C.V. - SHK Ppt Euro Put Wts Jan10  | 200,000,000 | 2009/05/08 | 2010/01/25 | 136.00        |
| 16520#   | Macquarie Bank Ltd. - HSI European Put Warrants Sep 2009 B   | 300,000,000 | 2009/05/08 | 2009/09/29 | 28.20         |
| 15090#   | Deutsche Bank AG - HKEx European Put Warrants Oct 2009       | 200,000,000 | 2009/05/08 | 2009/10/19 | 19.00         |
| 16907    | ABN AMRO Bank N.V. - HKEx European Warrants Nov 2009 A       | 300,000,000 | 2009/05/11 | 2009/11/30 | 75.00         |
| 16900    | BNP Paribas Arbit Issu B.V. - HSI European Wts Nov 2009 E    | 300,000,000 | 2009/05/11 | 2009/11/27 | 75.00         |
| 16899    | BNP Paribas Arbit Issu B.V. - HSI Euro Put Wts Nov 2009 C    | 300,000,000 | 2009/05/11 | 2009/11/27 | 78.00         |
| 16903    | Deutsche Bank AG - CNOOC European Put Warrants Nov 2009 B    | 100,000,000 | 2009/05/11 | 2009/11/09 | 16.00         |
| 16901    | Deutsche Bank AG - HSI European Warrants Nov 2009 A          | 300,000,000 | 2009/05/11 | 2009/11/27 | 75.00         |
| 16902    | Deutsche Bank AG - HSI European Warrants Dec 2009 A          | 300,000,000 | 2009/05/11 | 2009/12/30 | 75.00         |
| 16905    | Deutsche Bank AG - HSI European Put Warrants Nov 2009 D      | 300,000,000 | 2009/05/11 | 2009/11/27 | 93.00         |
| 16904    | Deutsche Bank AG - ICBC European Put Warrants Nov 2009       | 100,000,000 | 2009/05/11 | 2009/11/16 | 68.00         |
| 16906    | Deutsche Bank AG - PetroChina European Put Wts Oct 2009      | 100,000,000 | 2009/05/11 | 2009/10/12 | 15.00         |
| 16908    | Goldman Sachs SP (Asia) - HSI European Put Wts Nov 2009 B    | 200,000,000 | 2009/05/11 | 2009/11/27 | 50.00         |
| 16333#   | Macquarie Bank Ltd. - CC Bank European Put Warrants Sep 2009 | 100,000,000 | 2009/05/11 | 2009/09/29 | 23.00         |
| 16940    | ABN AMRO Bank N.V. - HKEx European Put Warrants Nov 2009 C   | 300,000,000 | 2009/05/12 | 2009/11/11 | 57.00         |
| 16920    | ABN AMRO Bank N.V. - HSI European Warrants Sep 2009 B        | 400,000,000 | 2009/05/12 | 2009/09/29 | 66.80         |
| 16921    | ABN AMRO Bank N.V. - HSI European Put Warrants Oct 2009 B    | 400,000,000 | 2009/05/12 | 2009/10/29 | 76.80         |
| 16933    | BNP Paribas Arbit Issu B.V. - CC Bank Euro Wts Oct 2009      | 200,000,000 | 2009/05/12 | 2009/10/05 | 96.00         |
| 16934    | BNP Paribas Arbit Issu B.V. - ICBC European Wts Nov 2009     | 200,000,000 | 2009/05/12 | 2009/11/23 | 82.00         |
| 16930    | Credit Suisse - HKEx European Warrants Dec 2009              | 300,000,000 | 2009/05/12 | 2009/12/21 | 69.00         |
| 16929    | Credit Suisse -HKEx European Put Warrants Nov 2009 A         | 300,000,000 | 2009/05/12 | 2009/11/30 | 45.00         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 16928    | Credit Suisse - ICBC European Warrants Nov 2009 B            | 100,000,000 | 2009/05/12 | 2009/11/16 | 25.00         |
| 16931    | Deutsche Bank AG - HKEx European Warrants Mar 2010 A         | 200,000,000 | 2009/05/12 | 2010/03/02 | 50.00         |
| 16909    | HK Bank - CHALCO European Warrants Feb 2010                  | 280,000,000 | 2009/05/12 | 2010/02/22 | 70.00         |
| 16910    | HK Bank - China Shenhua European Warrants Jan 2010           | 280,000,000 | 2009/05/12 | 2010/01/20 | 156.80        |
| 16911    | HK Bank - Jiangxi Copper European Warrants Jan 2010          | 280,000,000 | 2009/05/12 | 2010/01/20 | 70.00         |
| 16912    | HK Bank - Yanzhou Coal European Warrants Jan 2010            | 280,000,000 | 2009/05/12 | 2010/01/20 | 70.00         |
| 16935    | KBC Fin Products Int'l Ltd. - China Life Eur Put Wt Nov 09 B | 348,000,000 | 2009/05/12 | 2009/11/16 | 93.96         |
| 16936    | KBC Fin Products Int'l Ltd. - CNOOC European Wts Mar 2010    | 400,000,000 | 2009/05/12 | 2010/03/15 | 100.00        |
| 16939    | KBC Fin Products Int'l Ltd. - HSCEI Euro Wts Dec 2009 C      | 400,000,000 | 2009/05/12 | 2009/12/30 | 100.00        |
| 16938    | KBC Fin Products Int'l Ltd. - ICBC Euro Put Wts Dec 2009     | 188,000,000 | 2009/05/12 | 2009/12/01 | 97.76         |
| 16937    | KBC Fin Products Int'l Ltd. - ICBC Euro Put Wts Nov 2009 D   | 103,000,000 | 2009/05/12 | 2009/11/12 | 97.85         |
| 16913    | Macquarie Bank Ltd. - CC Bank European Warrants Dec 2009     | 100,000,000 | 2009/05/12 | 2009/12/30 | 82.60         |
| 16917    | Macquarie Bank Ltd. - CC Bank European Put Warrants Dec 2009 | 100,000,000 | 2009/05/12 | 2009/12/30 | 60.30         |
| 16914    | Macquarie Bank Ltd. - CM Bank European Warrants Jan 2010 A   | 300,000,000 | 2009/05/12 | 2010/01/28 | 75.60         |
| 16915    | Macquarie Bank Ltd. - CM Bank European Put Warrants Dec 2009 | 300,000,000 | 2009/05/12 | 2009/12/30 | 75.90         |
| 16916    | Macquarie Bank Ltd. - CNOOC European Warrants Mar 2011       | 100,000,000 | 2009/05/12 | 2011/03/30 | 27.10         |
| 16919    | Macquarie Bank Ltd. - HSI European Put Warrants Nov 2009 A   | 300,000,000 | 2009/05/12 | 2009/11/27 | 75.00         |
| 16918    | Macquarie Bank Ltd. - HSI European Warrants Dec 2009 G       | 300,000,000 | 2009/05/12 | 2009/12/30 | 75.00         |
| 16932    | Standard Bank PLC - CNOOC European Put Warrants May 2010     | 200,000,000 | 2009/05/12 | 2010/05/26 | 50.00         |
| 16924    | SGA Societe Generale Acceptance N.V. - Ch Mob Eu Wt Apr 2010 | 800,000,000 | 2009/05/12 | 2010/04/21 | 120.00        |
| 16922    | SGA Societe Generale Acceptance N.V. - CCB Eur Wt Dec 2009 D | 100,000,000 | 2009/05/12 | 2009/12/07 | 46.50         |
| 16923    | SGA Societe Generale Acceptance N.V. - CLife Eu Wt Nov 2009D | 250,000,000 | 2009/05/12 | 2009/11/18 | 75.00         |
| 16925    | SGA Societe Generale Acceptance N.V. - HSI Eur Wt Nov 2009 A | 300,000,000 | 2009/05/12 | 2009/11/27 | 75.00         |
| 16926    | SGA Societe Generale Acceptance N.V. - HSI Eur Wt Nov 2009 B | 300,000,000 | 2009/05/12 | 2009/11/27 | 75.00         |
| 16927    | SGA Societe Generale Acceptance N.V. - HSI Eur Wt Nov 2009 C | 300,000,000 | 2009/05/12 | 2009/11/27 | 75.00         |
| 16165#   | Credit Suisse -HKEx European Put Warrants Oct 2009           | 200,000,000 | 2009/05/12 | 2009/10/05 | 12.60         |
| 16943    | Barclays Bank plc - HSI European Put Warrants Oct 2009       | 500,000,000 | 2009/05/13 | 2009/10/29 | 89.00         |
| 16944    | Deutsche Bank AG - HKEx European Put Warrants Nov 2009 B     | 150,000,000 | 2009/05/13 | 2009/11/16 | 40.50         |
| 16941    | Macquarie Bank Ltd. - HKEx European Warrants Sep 2010        | 300,000,000 | 2009/05/13 | 2010/09/29 | 75.60         |
| 16942    | SGA Societe Generale Acceptance N.V. - HSBC Eu Put Wt Aug10B | 400,000,000 | 2009/05/13 | 2010/08/25 | 101.20        |
| 17001    | ABN AMRO Bank N.V. - BOCL European Warrants Nov 2009         | 150,000,000 | 2009/05/14 | 2009/11/16 | 43.20         |
| 16997    | ABN AMRO Bank N.V. - China Life European Warrants Nov 2009 C | 200,000,000 | 2009/05/14 | 2009/11/23 | 69.00         |
| 17002    | ABN AMRO Bank N.V. - China Life European Put Wts Nov 2009 E  | 200,000,000 | 2009/05/14 | 2009/11/16 | 60.20         |
| 16996    | BNP Paribas Arbit Issu B.V. - HSI European Wts Nov 2009 F    | 300,000,000 | 2009/05/14 | 2009/11/27 | 78.00         |
| 17000    | BNP Paribas Arbit Issu B.V. - HSI Euro Put Wts Nov 2009 G    | 300,000,000 | 2009/05/14 | 2009/11/27 | 75.00         |
| 17003    | Deutsche Bank AG - China Life European Put Wts Nov 2009 E    | 200,000,000 | 2009/05/14 | 2009/11/23 | 92.00         |
| 17004    | Deutsche Bank AG - CNOOC European Warrants Mar 2010          | 200,000,000 | 2009/05/14 | 2010/03/29 | 50.00         |
| 17005    | Deutsche Bank AG - HKEx European Warrants Mar 2010 B         | 200,000,000 | 2009/05/14 | 2010/03/16 | 50.00         |
| 17008    | Deutsche Bank AG - HKEx European Put Warrants Dec 2009 F     | 200,000,000 | 2009/05/14 | 2009/12/28 | 54.00         |
| 17006    | Deutsche Bank AG - HSBC European Warrants May 2010           | 200,000,000 | 2009/05/14 | 2010/05/10 | 50.00         |
| 17007    | Deutsche Bank AG - HSBC European Put Warrants Mar 2010       | 200,000,000 | 2009/05/14 | 2010/03/01 | 54.00         |
| 16994    | Deutsche Bank AG - HSI European Warrants Nov 2009 B          | 300,000,000 | 2009/05/14 | 2009/11/27 | 75.00         |
| 16995    | Deutsche Bank AG - HSI European Warrants Nov 2009 C          | 300,000,000 | 2009/05/14 | 2009/11/27 | 75.00         |
| 16998    | Deutsche Bank AG - HSI European Put Warrants Nov 2009 E      | 300,000,000 | 2009/05/14 | 2009/11/27 | 93.00         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 16999    | Deutsche Bank AG - HSI European Put Warrants Nov 2009 F      | 300,000,000 | 2009/05/14 | 2009/11/27 | 102.00        |
| 16968    | HK Bank - HSCEI European Warrants Dec 2009 C                 | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16969    | HK Bank - HSCEI European Warrants Dec 2009 D                 | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16970    | HK Bank - HSCEI European Warrants Dec 2009 E                 | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16972    | HK Bank - HSCEI European Warrants Dec 2009 F                 | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16979    | HK Bank - HSCEI European Put Warrants Dec 2009 G             | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16980    | HK Bank - HSCEI European Put Warrants Dec 2009 H             | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16981    | HK Bank - HSCEI European Put Warrants Dec 2009 I             | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16973    | HK Bank - HSI European Warrants Dec 2009 F                   | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16974    | HK Bank - HSI European Warrants Dec 2009 G                   | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16975    | HK Bank - HSI European Warrants Dec 2009 H                   | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16976    | HK Bank - HSI European Warrants Dec 2009 I                   | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16977    | HK Bank - HSI European Warrants Dec 2009 J                   | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16978    | HK Bank - HSI European Warrants Dec 2009 K                   | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16982    | HK Bank - HSI European Put Warrants Dec 2009 L               | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16983    | HK Bank - HSI European Put Warrants Dec 2009 M               | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16984    | HK Bank - HSI European Put Warrants Dec 2009 N               | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16985    | HK Bank - HSI European Put Warrants Dec 2009 O               | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16986    | HK Bank - HSI European Put Warrants Dec 2009 P               | 380,000,000 | 2009/05/14 | 2009/12/30 | 95.00         |
| 16945    | Macquarie Bank Ltd. - BOCL European Warrants Nov 2009        | 150,000,000 | 2009/05/14 | 2009/11/27 | 38.25         |
| 16946    | Macquarie Bank Ltd. - BankComm European Warrants Sep 2010    | 250,000,000 | 2009/05/14 | 2010/09/29 | 62.50         |
| 16950    | Macquarie Bank Ltd. - China Tel European Warrants Nov 2009   | 100,000,000 | 2009/05/14 | 2009/11/27 | 42.40         |
| 16947    | Macquarie Bank Ltd. - CC Bank European Warrants Nov 2009     | 100,000,000 | 2009/05/14 | 2009/11/27 | 49.30         |
| 16951    | Macquarie Bank Ltd. - CNOOC European Put Warrants Jun 2010   | 250,000,000 | 2009/05/14 | 2010/06/29 | 65.50         |
| 16948    | Macquarie Bank Ltd. - China Railway European Wts Sep 2010    | 250,000,000 | 2009/05/14 | 2010/09/29 | 62.50         |
| 16949    | Macquarie Bank Ltd. - China Shenhua European Wts Mar 2010    | 250,000,000 | 2009/05/14 | 2010/03/30 | 144.00        |
| 16952    | Macquarie Bank Ltd. - Hang Seng Bank European Wts Dec 2010 B | 500,000,000 | 2009/05/14 | 2010/12/30 | 132.00        |
| 16955    | Macquarie Bank Ltd. - HSCEI European Put Warrants Nov 2009 B | 200,000,000 | 2009/05/14 | 2009/11/27 | 50.00         |
| 16956    | Macquarie Bank Ltd. - HSI European Warrants Jan 2010         | 300,000,000 | 2009/05/14 | 2010/01/28 | 75.00         |
| 16957    | Macquarie Bank Ltd. - HSI European Put Warrants Nov 2009 B   | 300,000,000 | 2009/05/14 | 2009/11/27 | 75.00         |
| 16953    | Macquarie Bank Ltd. - New World Dev European Wts Apr 2010    | 200,000,000 | 2009/05/14 | 2010/04/29 | 50.00         |
| 16954    | Macquarie Bank Ltd. - PetroChina European Wts Nov 2009       | 150,000,000 | 2009/05/14 | 2009/11/27 | 89.10         |
| 16962    | SGA Societe Generale Acceptance N.V. - CNOOC Eu Wt Dec 2010  | 400,000,000 | 2009/05/14 | 2010/12/08 | 101.20        |
| 16958    | SGA Societe Generale Acceptance N.V. - CP&CC Eur Wt Dec 09 E | 100,000,000 | 2009/05/14 | 2009/12/02 | 70.00         |
| 16959    | SGA Societe Generale Acceptance N.V. - CP&CC Eu Put Wt Jan10 | 400,000,000 | 2009/05/14 | 2010/01/20 | 101.20        |
| 16960    | SGA Societe Generale Acceptance N.V. - CP&CC Eu Put Wt Oct10 | 400,000,000 | 2009/05/14 | 2010/10/04 | 100.00        |
| 16961    | SGA Societe Generale Acceptance N.V. - CTel Eu Wt Nov 2009B  | 150,000,000 | 2009/05/14 | 2009/11/18 | 90.00         |
| 16963    | SGA Societe Generale Acceptance N.V. - HKEx Eu Wt Jan 2010 B | 500,000,000 | 2009/05/14 | 2010/01/27 | 125.00        |
| 16964    | SGA Societe Generale Acceptance N.V. - HKEx Eu Put Wt Dec09B | 500,000,000 | 2009/05/14 | 2009/12/02 | 142.00        |
| 16971    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Nov 09F | 300,000,000 | 2009/05/14 | 2009/11/27 | 75.00         |
| 16967    | SGA Societe Generale Acceptance N.V. - HSI Eur Wt Nov 2009 D | 300,000,000 | 2009/05/14 | 2009/11/27 | 75.00         |
| 16965    | SGA Societe Generale Acceptance N.V. - HWL Eur Wt Jan 2010   | 200,000,000 | 2009/05/14 | 2010/01/20 | 128.00        |
| 16966    | SGA Societe Generale Acceptance N.V. - ICBC Eu Put Wt Dec 10 | 400,000,000 | 2009/05/14 | 2010/12/08 | 101.20        |
| 16990    | UBS AG - China Mobile European Warrants Oct 2010             | 300,000,000 | 2009/05/14 | 2010/10/18 | 45.00         |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 16993    | UBS AG - China Mobile European Put Warrants Apr 2010         | 300,000,000 | 2009/05/14 | 2010/04/19 | 45.00         |
| 17018    | UBS AG - CC Bank European Put Warrants Dec 2009 B            | 300,000,000 | 2009/05/14 | 2009/12/21 | 108.00        |
| 16987    | UBS AG - China Mobile European Warrants Oct 2009 C           | 300,000,000 | 2009/05/14 | 2009/10/27 | 45.00         |
| 16988    | UBS AG - China Mobile European Warrants Apr 2010 A           | 300,000,000 | 2009/05/14 | 2010/04/19 | 45.00         |
| 16989    | UBS AG - China Mobile European Warrants Apr 2010 B           | 300,000,000 | 2009/05/14 | 2010/04/26 | 45.00         |
| 17010    | UBS AG - HKEx European Warrants Jan 2010 A                   | 300,000,000 | 2009/05/14 | 2010/01/25 | 99.00         |
| 17011    | UBS AG - HKEx European Warrants Feb 2010 A                   | 300,000,000 | 2009/05/14 | 2010/02/22 | 81.00         |
| 17019    | UBS AG - HKEx European Warrants Dec 2009 C                   | 300,000,000 | 2009/05/14 | 2009/12/21 | 75.00         |
| 17009    | UBS AG - HKEx European Warrants Dec 2009 D                   | 300,000,000 | 2009/05/14 | 2009/12/21 | 75.00         |
| 16991    | UBS AG - HKEx European Put Warrants Nov 2009 B               | 300,000,000 | 2009/05/14 | 2009/11/23 | 45.00         |
| 17013    | UBS AG - HSI European Put Warrants Oct 2009                  | 300,000,000 | 2009/05/14 | 2009/10/29 | 45.00         |
| 17014    | UBS AG - HSI European Put Warrants Nov 2009                  | 300,000,000 | 2009/05/14 | 2009/11/27 | 45.00         |
| 17012    | UBS AG - HSI European Warrants Dec 2009 G                    | 300,000,000 | 2009/05/14 | 2009/12/30 | 45.00         |
| 17015    | UBS AG - HSI European Put Warrants Dec 2009 H                | 300,000,000 | 2009/05/14 | 2009/12/30 | 75.00         |
| 17016    | UBS AG - HSI European Put Warrants Dec 2009 I                | 300,000,000 | 2009/05/14 | 2009/12/30 | 75.00         |
| 16992    | UBS AG - ICBC European Put Warrants Oct 2009                 | 300,000,000 | 2009/05/14 | 2009/10/27 | 45.00         |
| 17017    | UBS AG - ICBC European Put Warrants Dec 2009                 | 300,000,000 | 2009/05/14 | 2009/12/21 | 135.00        |
| 16081#   | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Jul 2009 G    | 600,000,000 | 2009/05/14 | 2009/07/30 | 31.80         |
| 16082#   | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Jul 2009 H    | 600,000,000 | 2009/05/14 | 2009/07/30 | 45.00         |
| 17031    | ABN AMRO Bank N.V. - CC Bank European Warrants Nov 2009 A    | 100,000,000 | 2009/05/15 | 2009/11/23 | 57.30         |
| 17027    | Deutsche Bank AG - CC Bank European Put Warrants Dec 2009    | 200,000,000 | 2009/05/15 | 2009/12/21 | 168.00        |
| 17028    | Deutsche Bank AG - HKEx European Warrants Nov 2009 D         | 200,000,000 | 2009/05/15 | 2009/11/30 | 50.00         |
| 17029    | Deutsche Bank AG - HKEx European Put Warrants Dec 2009 G     | 200,000,000 | 2009/05/15 | 2009/12/14 | 70.00         |
| 17025    | Deutsche Bank AG - HSBC European Warrants Sep 2011           | 200,000,000 | 2009/05/15 | 2011/09/29 | 50.00         |
| 17024    | Deutsche Bank AG - HSBC European Warrants Dec 2009 B         | 200,000,000 | 2009/05/15 | 2009/12/07 | 228.00        |
| 17030    | Deutsche Bank AG - PetroChina European Put Wts Dec 2009      | 200,000,000 | 2009/05/15 | 2009/12/21 | 50.00         |
| 17020    | KBC Fin Products Int'l Ltd. - HSBC European Wts Jun 2010 B   | 600,000,000 | 2009/05/15 | 2010/06/07 | 96.00         |
| 17022    | Macquarie Bank Ltd. - HKEx European Warrants Jun 2010        | 300,000,000 | 2009/05/15 | 2010/06/29 | 75.30         |
| 17021    | Macquarie Bank Ltd. - HKEx European Warrants Jan 2010 B      | 300,000,000 | 2009/05/15 | 2010/01/28 | 75.30         |
| 17023    | Macquarie Bank Ltd. - Jiangxi Copper European Wts Feb 2010   | 200,000,000 | 2009/05/15 | 2010/02/25 | 50.00         |
| 17026    | SGA Societe Generale Acceptance N.V. - HKEx Eu Wt Dec 2009   | 500,000,000 | 2009/05/15 | 2009/12/30 | 125.50        |
| 16567#   | Macquarie Bank Ltd. - China Unicom European Wts Jun 2010     | 300,000,000 | 2009/05/15 | 2010/06/29 | 67.80         |
| 16747#   | Macquarie Bank Ltd. - HSI European Put Warrants Oct 2009     | 300,000,000 | 2009/05/15 | 2009/10/29 | 40.80         |
| 17061    | ABN AMRO Bank N.V. - HKEx European Warrants Nov 2009 B       | 300,000,000 | 2009/05/18 | 2009/11/23 | 75.00         |
| 17033    | BOCI Asia Ltd. - WISE CSI European Warrants Dec 2009         | 300,000,000 | 2009/05/18 | 2009/12/02 | 150.00        |
| 17032    | BOCI Asia Ltd. - Renhe Comm European Warrants Dec 2009       | 300,000,000 | 2009/05/18 | 2009/12/02 | 90.00         |
| 17048    | Credit Suisse -HKEx European Put Warrants Nov 2009 B         | 300,000,000 | 2009/05/18 | 2009/11/03 | 45.00         |
| 17064    | Deutsche Bank AG - China Mobile European Warrants Apr 2010 A | 200,000,000 | 2009/05/18 | 2010/04/26 | 30.00         |
| 17062    | Deutsche Bank AG - Cheung Kong European Warrants Dec 2009 B  | 200,000,000 | 2009/05/18 | 2009/12/28 | 30.00         |
| 17063    | Deutsche Bank AG - China Life European Warrants Dec 2009 D   | 200,000,000 | 2009/05/18 | 2009/12/21 | 84.00         |
| 17065    | Deutsche Bank AG - ICBC European Warrants Dec 2009 A         | 200,000,000 | 2009/05/18 | 2009/12/21 | 116.00        |
| 17066    | Deutsche Bank AG - PetroChina European Warrants Feb 2010 B   | 200,000,000 | 2009/05/18 | 2010/02/01 | 32.00         |
| 17049    | HK Bank - CHALCO European Warrants Jan 2010                  | 180,000,000 | 2009/05/18 | 2010/01/20 | 45.00         |
| 17051    | HK Bank - Ch Comm Cons European Warrants Jan 2010            | 180,000,000 | 2009/05/18 | 2010/01/20 | 45.00         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 17050    | HK Bank - CITIC Bank European Warrants Jan 2010              | 180,000,000 | 2009/05/18 | 2010/01/20 | 142.20        |
| 17055    | HK Bank - HKEx European Put Warrants Feb 2010                | 180,000,000 | 2009/05/18 | 2010/02/22 | 45.00         |
| 17052    | HK Bank - HKEx European Warrants Jan 2010 B                  | 180,000,000 | 2009/05/18 | 2010/01/20 | 45.00         |
| 17053    | HK Bank - Lenovo European Warrants Feb 2010                  | 180,000,000 | 2009/05/18 | 2010/02/22 | 104.40        |
| 17054    | HK Bank - Zijin Mining European Warrants Feb 2010            | 180,000,000 | 2009/05/18 | 2010/02/22 | 45.00         |
| 17056    | KBC Fin Products Int'l Ltd. - Ch Mobile Euro Wt Apr 2010 B   | 608,000,000 | 2009/05/18 | 2010/04/21 | 91.20         |
| 17057    | KBC Fin Products Int'l Ltd. - Sinopec Euro Wts Dec 2010      | 400,000,000 | 2009/05/18 | 2010/12/28 | 100.00        |
| 17058    | KBC Fin Products Int'l Ltd. - PetroChina Euro Wts Dec 2009   | 400,000,000 | 2009/05/18 | 2009/12/18 | 100.00        |
| 17034    | Macquarie Bank Ltd. - HSI European Put Warrants Jan 2010 A   | 400,000,000 | 2009/05/18 | 2010/01/28 | 100.80        |
| 17037    | Merrill Lynch Int'l & Co. C.V. - Ch Overseas Eur Wt Jun 2010 | 200,000,000 | 2009/05/18 | 2010/06/28 | 100.00        |
| 17038    | Merrill Lynch Int'l & Co. C.V.-Ch Overseas Eur Put Wts Apr10 | 200,000,000 | 2009/05/18 | 2010/04/12 | 72.00         |
| 17041    | Merrill Lynch Int'l & Co. C.V.-Ch Overseas Eur Put Wts May10 | 200,000,000 | 2009/05/18 | 2010/05/10 | 53.00         |
| 17036    | Merrill Lynch Int'l & Co. C.V.-CK(H) Euro Put Warrants Feb11 | 300,000,000 | 2009/05/18 | 2011/02/07 | 76.50         |
| 17046    | Merrill Lynch Int'l & Co. C.V. - HKEx Euro Wts Apr 2010      | 300,000,000 | 2009/05/18 | 2010/04/26 | 88.50         |
| 17043    | Merrill Lynch Int'l & Co. C.V. - HKEx Euro Wts May 2010      | 300,000,000 | 2009/05/18 | 2010/05/10 | 78.00         |
| 17044    | Merrill Lynch Int'l & Co. C.V. - HKEx Euro Wts Aug 2010      | 300,000,000 | 2009/05/18 | 2010/08/09 | 79.50         |
| 17045    | Merrill Lynch Int'l & Co. C.V. - HSBC Euro Wts Jul 2010      | 300,000,000 | 2009/05/18 | 2010/07/26 | 65.70         |
| 17042    | Merrill Lynch Int'l & Co. C.V. - HSBC Euro Wts Dec 2010      | 300,000,000 | 2009/05/18 | 2010/12/20 | 49.80         |
| 17047    | Merrill Lynch Int'l & Co. C.V. - HSBC Euro Put Wt Dec 2010   | 300,000,000 | 2009/05/18 | 2010/12/13 | 54.00         |
| 17059    | Merrill Lynch Int'l & Co. C.V. - HSI European Warrants Oct09 | 300,000,000 | 2009/05/18 | 2009/10/29 | 79.50         |
| 17060    | Merrill Lynch Int'l & Co. C.V. - HSI European Put Wts Nov09  | 300,000,000 | 2009/05/18 | 2009/11/27 | 48.30         |
| 17035    | SGA Societe Generale Acceptance N.V. - HSI Eur Wt Nov 2009 E | 300,000,000 | 2009/05/18 | 2009/11/27 | 75.00         |
| 17039    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Nov 09G | 300,000,000 | 2009/05/18 | 2009/11/27 | 75.00         |
| 17040    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Nov 09H | 300,000,000 | 2009/05/18 | 2009/11/27 | 75.00         |
| 16244#   | Deutsche Bank AG - HSBC European Put Warrants Sep 2009 B     | 250,000,000 | 2009/05/18 | 2009/09/29 | 12.00         |
| 16192#   | CC Rabobank B.A. - HSBC European Put Warrants Sep 2009 B     | 250,000,000 | 2009/05/18 | 2009/09/29 | 12.25         |
| 17072    | BNP Paribas Arbit Issu B.V. - CNOOC European Wts Nov 2010    | 100,000,000 | 2009/05/19 | 2010/11/22 | 25.00         |
| 17073    | BNP Paribas Arbit Issu B.V. - HKEx European Wts Mar 2010     | 100,000,000 | 2009/05/19 | 2010/03/29 | 25.00         |
| 17075    | KBC Fin Products Int'l Ltd. - CC Bank Euro Wts Nov 2009      | 178,000,000 | 2009/05/19 | 2009/11/19 | 97.90         |
| 17076    | KBC Fin Products Int'l Ltd. - CC Bank Euro Wts Dec 2009 A    | 208,000,000 | 2009/05/19 | 2009/12/01 | 97.76         |
| 17082    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Dec 2009 C    | 348,000,000 | 2009/05/19 | 2009/12/30 | 97.44         |
| 17074    | KBC Fin Products Int'l Ltd. - HSI European Wts Nov 2009 D    | 400,000,000 | 2009/05/19 | 2009/11/27 | 100.00        |
| 17080    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Nov 2009 F    | 400,000,000 | 2009/05/19 | 2009/11/27 | 100.00        |
| 17081    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Nov 2009 G    | 400,000,000 | 2009/05/19 | 2009/11/27 | 100.00        |
| 17078    | KBC Fin Products Int'l Ltd. - ICBC European Wts Dec 2009 A   | 208,000,000 | 2009/05/19 | 2009/12/01 | 97.76         |
| 17079    | KBC Fin Products Int'l Ltd. - ICBC Euro Put Wts Nov 2010 A   | 400,000,000 | 2009/05/19 | 2010/11/15 | 100.00        |
| 17077    | KBC Fin Products Int'l Ltd. - ICBC European Wts Nov 2009 E   | 288,000,000 | 2009/05/19 | 2009/11/19 | 97.92         |
| 17068    | CC Rabobank B.A. - CC Bank European Put Warrants Nov 2009    | 100,000,000 | 2009/05/19 | 2009/11/30 | 30.00         |
| 17067    | CC Rabobank B.A. - HKEx European Warrants Jan 2010 A         | 180,000,000 | 2009/05/19 | 2010/01/15 | 45.00         |
| 17071    | CC Rabobank B.A. - HKEx European Put Warrants Jan 2010       | 180,000,000 | 2009/05/19 | 2010/01/15 | 45.00         |
| 17069    | CC Rabobank B.A. - HSBC European Warrants Dec 2011           | 200,000,000 | 2009/05/19 | 2011/12/19 | 44.40         |
| 17070    | CC Rabobank B.A. - ICBC European Put Warrants Nov 2009       | 100,000,000 | 2009/05/19 | 2009/11/30 | 39.00         |
| 17085    | BNP Paribas Arbit Issu B.V. - CC Bank Euro Wts Dec 2011      | 200,000,000 | 2009/05/20 | 2011/12/05 | 30.00         |
| 17084    | BNP Paribas Arbit Issu B.V. - CC Bank Euro Wts Dec 2009 B    | 200,000,000 | 2009/05/20 | 2009/12/02 | 72.00         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 17089    | Deutsche Bank AG - China Telecom European Wts Nov 2009 B     | 150,000,000 | 2009/05/20 | 2009/11/30 | 58.50         |
| 17086    | Goldman Sachs SP (Asia) - HSBC European Warrants Nov 2009    | 200,000,000 | 2009/05/20 | 2009/11/27 | 72.00         |
| 17093    | KBC Fin Products Int'l Ltd. - HSBC European Wts Aug 2010     | 400,000,000 | 2009/05/20 | 2010/08/02 | 100.00        |
| 17092    | KBC Fin Products Int'l Ltd. - HSBC European Wts May 2011     | 400,000,000 | 2009/05/20 | 2011/05/03 | 100.00        |
| 17087    | KBC Fin Products Int'l Ltd. - PetroChina Euro Wts Feb 2010   | 400,000,000 | 2009/05/20 | 2010/02/10 | 100.00        |
| 17088    | KBC Fin Products Int'l Ltd. - PetroChina Euro Wts May 2010   | 400,000,000 | 2009/05/20 | 2010/05/03 | 100.00        |
| 17091    | KBC Fin Products Int'l Ltd. - PetroChina Eur Put Wt Feb10A   | 468,000,000 | 2009/05/20 | 2010/02/02 | 88.92         |
| 17083    | Macquarie Bank Ltd. - China Unicom European Wts Dec 2009 B   | 400,000,000 | 2009/05/20 | 2009/12/30 | 100.00        |
| 17090    | Standard Bank PLC - A50 China European Put Warrants Dec 2009 | 200,000,000 | 2009/05/20 | 2009/12/30 | 50.00         |
| 15466#   | KBC Fin Products Int'l Ltd. - Sinopec Euro Wts Nov 2009 A    | 600,000,000 | 2009/05/20 | 2009/11/23 | 58.80         |
| 15715#   | SGA Societe Generale Acceptance N.V. - CP&CC Eur Wt Nov 09A  | 500,000,000 | 2009/05/20 | 2009/11/23 | 46.50         |
| 17107    | Barclays Bank plc - ICBC European Warrants Nov 2009          | 100,000,000 | 2009/05/21 | 2009/11/27 | 34.00         |
| 17108    | Barclays Bank plc - ICBC European Put Warrants Dec 2009      | 100,000,000 | 2009/05/21 | 2009/12/30 | 36.00         |
| 17109    | KBC Fin Products Int'l Ltd. - BOCL Euro Put Wts Dec 2009     | 108,000,000 | 2009/05/21 | 2009/12/01 | 99.36         |
| 17111    | KBC Fin Products Int'l Ltd. - CNOOC Euro Put Wts Mar 2010    | 400,000,000 | 2009/05/21 | 2010/03/01 | 100.00        |
| 17110    | KBC Fin Products Int'l Ltd. - Sinopec Corp Eu Put Wt Feb 10  | 328,000,000 | 2009/05/21 | 2010/02/10 | 98.40         |
| 17112    | KBC Fin Products Int'l Ltd. - PetroChina Eur Put Wt Feb 10B  | 258,000,000 | 2009/05/21 | 2010/02/01 | 98.04         |
| 17094    | Macquarie Bank Ltd. - CLP European Warrants Jun 2011         | 300,000,000 | 2009/05/21 | 2011/06/23 | 45.60         |
| 17095    | Merrill Lynch Int'l & Co. C.V. - BankComm Euro Wts Dec 2010  | 200,000,000 | 2009/05/21 | 2010/12/20 | 50.00         |
| 17100    | Merrill Lynch Int'l & Co. C.V. - BankComm Euro Put Wts Dec10 | 200,000,000 | 2009/05/21 | 2010/12/13 | 50.00         |
| 17098    | Merrill Lynch Int'l & Co. C.V. - CNOOC European Wts Mar 2010 | 200,000,000 | 2009/05/21 | 2010/03/08 | 44.80         |
| 17099    | Merrill Lynch Int'l & Co. C.V. - CNOOC Euro Put Wts May 2010 | 200,000,000 | 2009/05/21 | 2010/05/24 | 41.60         |
| 17096    | Merrill Lynch Int'l & Co. C.V.-Sinopec Eu Put Warrants Dec10 | 200,000,000 | 2009/05/21 | 2010/12/13 | 51.00         |
| 17097    | Merrill Lynch Int'l & Co. C.V. - Ch Shenhua Eur Wts Dec 2009 | 200,000,000 | 2009/05/21 | 2009/12/21 | 83.00         |
| 17101    | CC Rabobank B.A. - China Life European Warrants Feb 2010     | 180,000,000 | 2009/05/21 | 2010/02/10 | 111.60        |
| 17102    | CC Rabobank B.A. - HKEx European Warrants Feb 2010 A         | 150,000,000 | 2009/05/21 | 2010/02/25 | 55.50         |
| 17103    | CC Rabobank B.A. - HKEx European Warrants Feb 2010 B         | 150,000,000 | 2009/05/21 | 2010/02/10 | 49.50         |
| 17104    | CC Rabobank B.A. - PetroChina European Warrants Mar 2010     | 150,000,000 | 2009/05/21 | 2010/03/25 | 37.50         |
| 17105    | CC Rabobank B.A. - Tencent Holdings European Wts Dec 2009    | 220,000,000 | 2009/05/21 | 2009/12/30 | 55.00         |
| 17106    | SGA Societe Generale Acceptance N.V. - CP&CC Eur Wt Dec 09 F | 150,000,000 | 2009/05/21 | 2009/12/23 | 69.00         |
| 17120    | BNP Paribas Arbit Issu B.V. - Sinopec Corp Euro Wts Jan 2010 | 200,000,000 | 2009/05/22 | 2010/01/04 | 140.00        |
| 17115    | Macquarie Bank Ltd. - China Mobile Euro Put Wts Jun 2010     | 400,000,000 | 2009/05/22 | 2010/06/29 | 100.00        |
| 17113    | Macquarie Bank Ltd. - HSBC European Warrants Dec 2010        | 500,000,000 | 2009/05/22 | 2010/12/30 | 75.50         |
| 17114    | Macquarie Bank Ltd. - Tencent European Warrants Jan 2010     | 200,000,000 | 2009/05/22 | 2010/01/28 | 50.20         |
| 17119    | SGA Societe Generale Acceptance N.V. - CK(H) Eu Wt Dec 2009  | 400,000,000 | 2009/05/22 | 2009/12/23 | 61.60         |
| 17116    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Nov 09I | 300,000,000 | 2009/05/22 | 2009/11/27 | 75.00         |
| 17117    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Nov 09J | 300,000,000 | 2009/05/22 | 2009/11/27 | 75.00         |
| 17118    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Nov 09K | 300,000,000 | 2009/05/22 | 2009/11/27 | 75.00         |
| 15872#   | Deutsche Bank AG - China Mobile European Warrants Oct 2009 B | 300,000,000 | 2009/05/22 | 2009/10/19 | 21.00         |
| 16829#   | CC Rabobank B.A. - HSI European Put Warrants Oct 2009 G      | 200,000,000 | 2009/05/22 | 2009/10/29 | 25.80         |
| 17127    | Deutsche Bank AG - Sinopec Corp European Warrants Dec 2010   | 200,000,000 | 2009/05/25 | 2010/12/28 | 30.00         |
| 17129    | Deutsche Bank AG - HSI European Warrants Sep 2009 J          | 300,000,000 | 2009/05/25 | 2009/09/29 | 48.00         |
| 17126    | Macquarie Bank Ltd. - CM Bank European Warrants Jan 2010 B   | 200,000,000 | 2009/05/25 | 2010/01/28 | 50.60         |
| 17125    | CC Rabobank B.A. - HSI European Put Warrants Jan 2010 A      | 200,000,000 | 2009/05/25 | 2010/01/28 | 55.00         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 17123    | CC Rabobank B.A. - HSI European Warrants Dec 2009 B          | 200,000,000 | 2009/05/25 | 2009/12/30 | 55.00         |
| 17124    | CC Rabobank B.A. - HSI European Warrants Dec 2009 C          | 200,000,000 | 2009/05/25 | 2009/12/30 | 50.00         |
| 17128    | CC Rabobank B.A. - HSI European Put Warrants Dec 2009 E      | 200,000,000 | 2009/05/25 | 2009/12/30 | 50.00         |
| 17130    | SGA Societe Generale Acceptance N.V. - CCCCL Eu Wt Jan 2010  | 200,000,000 | 2009/05/25 | 2010/01/18 | 51.00         |
| 17131    | SGA Societe Generale Acceptance N.V. - CCCCL Eu Wt Feb 2010  | 200,000,000 | 2009/05/25 | 2010/02/08 | 58.20         |
| 17122    | UBS AG - HSI European Warrants Jan 2010                      | 300,000,000 | 2009/05/25 | 2010/01/28 | 75.00         |
| 17121    | UBS AG - HSI European Warrants Dec 2009 J                    | 300,000,000 | 2009/05/25 | 2009/12/30 | 75.00         |
| 16898#   | Deutsche Bank AG - HKEx European Put Warrants Nov 2009 A     | 200,000,000 | 2009/05/25 | 2009/11/09 | 22.00         |
| 17133    | Credit Suisse - BOCL European Warrants Oct 2009 B            | 200,000,000 | 2009/05/26 | 2009/10/19 | 43.00         |
| 17135    | Credit Suisse - China Mobile European Put Warrants Jan 2010  | 200,000,000 | 2009/05/26 | 2010/01/25 | 50.00         |
| 17136    | Credit Suisse - China Mobile European Warrants Apr 2010 C    | 200,000,000 | 2009/05/26 | 2010/04/26 | 30.00         |
| 17134    | Credit Suisse - Sinopec Corp European Warrants Nov 2009      | 200,000,000 | 2009/05/26 | 2009/11/23 | 30.00         |
| 17146    | Credit Suisse - HKEx European Put Warrants Jan 2010          | 300,000,000 | 2009/05/26 | 2010/01/15 | 67.20         |
| 17142    | Credit Suisse - HKEx European Warrants Jan 2010 A            | 300,000,000 | 2009/05/26 | 2010/01/15 | 65.70         |
| 17143    | Credit Suisse - HKEx European Warrants Jan 2010 B            | 300,000,000 | 2009/05/26 | 2010/01/20 | 49.50         |
| 17137    | Deutsche Bank AG - Cheung Kong European Put Wts Mar 2010     | 200,000,000 | 2009/05/26 | 2010/03/08 | 50.00         |
| 17148    | Deutsche Bank AG - China Mobile European Warrants Apr 2010 B | 200,000,000 | 2009/05/26 | 2010/04/28 | 30.00         |
| 17138    | Deutsche Bank AG - China Mobile European Put Wts Nov 2009 D  | 200,000,000 | 2009/05/26 | 2009/11/30 | 50.00         |
| 17139    | Deutsche Bank AG - HKEx European Put Warrants May 2010       | 200,000,000 | 2009/05/26 | 2010/05/17 | 50.00         |
| 17132    | HK Bank - CM Bank European Warrants Feb 2010                 | 180,000,000 | 2009/05/26 | 2010/02/19 | 48.60         |
| 17147    | Macquarie Bank Ltd. - A50 China European Warrants Mar 2010   | 250,000,000 | 2009/05/26 | 2010/03/30 | 62.75         |
| 17145    | Macquarie Bank Ltd. - HSCEI European Warrants Nov 2009       | 200,000,000 | 2009/05/26 | 2009/11/27 | 50.00         |
| 17144    | Macquarie Bank Ltd. - HSI European Warrants Nov 2009         | 400,000,000 | 2009/05/26 | 2009/11/27 | 100.00        |
| 17140    | UBS AG - HKEx European Warrants Nov 2009                     | 300,000,000 | 2009/05/26 | 2009/11/30 | 45.00         |
| 17141    | UBS AG - HKEx European Warrants Mar 2010                     | 300,000,000 | 2009/05/26 | 2010/03/15 | 45.00         |
| 14627#   | Macquarie Bank Ltd. - HKEx European Put Warrants Sep 2009    | 388,000,000 | 2009/05/26 | 2009/09/29 | 34.92         |
| 17156    | BNP Paribas Arbit Issu B.V. - Ch Mobile Euro Wts Apr 2010 B  | 200,000,000 | 2009/05/27 | 2010/04/21 | 30.00         |
| 17155    | BNP Paribas Arbit Issu B.V. - HSI European Wts Dec 2009 B    | 300,000,000 | 2009/05/27 | 2009/12/30 | 78.00         |
| 17159    | BNP Paribas Arbit Issu B.V. - HSI Euro Put Wts Dec 2009 D    | 300,000,000 | 2009/05/27 | 2009/12/30 | 90.00         |
| 17157    | Deutsche Bank AG - HSI European Warrants Nov 2009 G          | 300,000,000 | 2009/05/27 | 2009/11/27 | 75.00         |
| 17161    | Deutsche Bank AG - HSI European Put Warrants Nov 2009 H      | 300,000,000 | 2009/05/27 | 2009/11/27 | 108.00        |
| 17154    | Macquarie Bank Ltd. - HKEx European Put Warrants Nov 2009    | 300,000,000 | 2009/05/27 | 2009/11/27 | 76.20         |
| 17149    | Macquarie Bank Ltd. - HSI European Put Warrants Jan 2010 B   | 400,000,000 | 2009/05/27 | 2010/01/28 | 100.00        |
| 17153    | Macquarie Bank Ltd. - PICC P&C European Warrants Nov 2009    | 100,000,000 | 2009/05/27 | 2009/11/27 | 54.40         |
| 17150    | CC Rabobank B.A. - A50 China European Warrants Apr 2010      | 100,000,000 | 2009/05/27 | 2010/04/23 | 25.00         |
| 17151    | CC Rabobank B.A. - A50 China European Warrants Jun 2010 A    | 100,000,000 | 2009/05/27 | 2010/06/25 | 25.00         |
| 17152    | CC Rabobank B.A. - A50 China European Put Warrants Mar 2010  | 100,000,000 | 2009/05/27 | 2010/03/26 | 25.00         |
| 17158    | Macquarie Bank Ltd. - CM Bank European Warrants Jun 2010     | 250,000,000 | 2009/05/29 | 2010/06/29 | 68.75         |
| 17160    | Macquarie Bank Ltd. - CM Bank European Put Warrants Feb 2010 | 250,000,000 | 2009/05/29 | 2010/02/25 | 62.75         |
| 17178    | Macquarie Bank Ltd. - CNOOC European Warrants Sep 2009 B     | 150,000,000 | 2009/05/29 | 2009/09/29 | 22.50         |
| 17177    | Macquarie Bank Ltd. - PetroChina European Wts Jun 2010       | 250,000,000 | 2009/05/29 | 2010/06/29 | 62.75         |
| 17176    | Merrill Lynch Int'l & Co. C.V. - Ch Telecom Eur Wt Dec 2009  | 200,000,000 | 2009/05/29 | 2009/12/28 | 86.00         |
| 17180    | Merrill Lynch Int'l & Co. C.V.-Ch Telecom Eur Put Wts Jan10  | 200,000,000 | 2009/05/29 | 2010/01/25 | 67.00         |
| 17167    | Merrill Lynch Int'l & Co. C.V. - CM Bank Euro Wts Dec 2009   | 200,000,000 | 2009/05/29 | 2009/12/21 | 50.00         |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 17171    | Merrill Lynch Int'l & Co. C.V. - CM Bank Euro Put Wts Jan10  | 200,000,000 | 2009/05/29 | 2010/01/11 | 50.00         |
| 17166    | Merrill Lynch Int'l & Co. C.V. - A50 China Eur Wt Dec 2009   | 200,000,000 | 2009/05/29 | 2009/12/28 | 39.20         |
| 17170    | Merrill Lynch Int'l & Co. C.V. - A50 China Eu Put Wt Dec 09  | 200,000,000 | 2009/05/29 | 2009/12/21 | 31.20         |
| 17169    | Merrill Lynch Int'l & Co. C.V. - HS Bank Euro Wts Jan 2010   | 200,000,000 | 2009/05/29 | 2010/01/11 | 32.20         |
| 17162    | Merrill Lynch Int'l & Co. C.V. - HSI European Warrants Nov09 | 200,000,000 | 2009/05/29 | 2009/11/27 | 39.00         |
| 17163    | Merrill Lynch Int'l & Co. C.V. - HSI European Warrants Dec09 | 200,000,000 | 2009/05/29 | 2009/12/30 | 56.00         |
| 17165    | Merrill Lynch Int'l & Co. C.V. - HSI European Put Wts Dec09  | 200,000,000 | 2009/05/29 | 2009/12/30 | 53.00         |
| 17164    | Merrill Lynch Int'l & Co. C.V. - HSI European Put Wts Jan10  | 200,000,000 | 2009/05/29 | 2010/01/28 | 50.00         |
| 17168    | Merrill Lynch Int'l & Co. C.V. - PetroChina Eu Wt Feb 2010   | 200,000,000 | 2009/05/29 | 2010/02/08 | 36.20         |
| 17172    | Merrill Lynch Int'l & Co. C.V. - PetroChina Eu Put Wt Feb10  | 200,000,000 | 2009/05/29 | 2010/02/01 | 34.80         |
| 17173    | SGA Societe Generale Acceptance N.V. - CHALCO Eu Wt Jan 2010 | 250,000,000 | 2009/05/29 | 2010/01/18 | 47.50         |
| 17174    | SGA Societe Generale Acceptance N.V. - CHALCO Eu Wt Jun 2010 | 250,000,000 | 2009/05/29 | 2010/06/02 | 66.00         |
| 17175    | SGA Societe Generale Acceptance N.V. - Shenhua Eu Wt Mar 10  | 250,000,000 | 2009/05/29 | 2010/03/01 | 137.50        |
| 17179    | Credit Suisse - HSBC European Wts Dec 2009                   | 300,000,000 | 2009/06/01 | 2009/12/28 | 45.00         |
| 17181    | Credit Suisse - Jiangxi Copper European Wts Nov 2010         | 200,000,000 | 2009/06/01 | 2010/11/15 | 60.00         |
| 17182    | Credit Suisse - Ping An European Warrants Nov 2011           | 200,000,000 | 2009/06/01 | 2011/11/28 | 49.20         |
| 17183    | Goldman Sachs SP (Asia) - HSI European Put Wts Dec 2009 A    | 200,000,000 | 2009/06/01 | 2009/12/30 | 50.00         |
| 17185    | BNP Paribas Arbit Issu B.V. - HKEx European Put Wts Dec 2009 | 200,000,000 | 2009/06/02 | 2009/12/02 | 58.00         |
| 17186    | BNP Paribas Arbit Issu B.V. - PetroCh Euro Wts Apr 2010      | 200,000,000 | 2009/06/02 | 2010/04/26 | 34.00         |
| 10876    | Deutsche Bank AG - Nikkei 225 Index European Wts Dec 2009 C  | 200,000,000 | 2009/06/02 | 2009/12/11 | 50.00         |
| 10880    | Deutsche Bank AG - Nikkei 225 Index Euro Put Wts Dec 2009 D  | 200,000,000 | 2009/06/02 | 2009/12/11 | 50.00         |
| 17187    | J P Morgan SP BV - BOCL European Warrants Oct 2009           | 388,000,000 | 2009/06/02 | 2009/10/20 | 62.47         |
| 17189    | J P Morgan SP BV - CC Bank Euro Put Wts Sep 2009             | 88,000,000  | 2009/06/02 | 2009/09/22 | 17.42         |
| 17191    | J P Morgan SP BV - CM Bank Euro Put Wts Dec 2009             | 388,000,000 | 2009/06/02 | 2009/12/30 | 97.78         |
| 17188    | J P Morgan SP BV - Sinopec Corp European Warrants Nov 2009   | 388,000,000 | 2009/06/02 | 2009/11/09 | 58.59         |
| 17190    | J P Morgan SP BV - ICBC European Put Wts Oct 2009            | 88,000,000  | 2009/06/02 | 2009/10/29 | 13.64         |
| 17184    | SGA Societe Generale Acceptance N.V. - HKEx Eu Wt Mar 2010 A | 500,000,000 | 2009/06/02 | 2010/03/22 | 125.00        |
| 16165#   | Credit Suisse -HKEx European Put Warrants Oct 2009           | 600,000,000 | 2009/06/02 | 2009/10/05 | 18.60         |
| 17202    | Deutsche Bank AG - SHK Ppt European Warrants May 2010        | 200,000,000 | 2009/06/03 | 2010/05/31 | 50.00         |
| 17192    | Macquarie Bank Ltd. - SHK Ppt European Put Warrants Jan 2010 | 250,000,000 | 2009/06/03 | 2010/01/28 | 62.75         |
| 17197    | CC Rabobank B.A. - Chi Res Land European Warrants Jan 2010   | 80,000,000  | 2009/06/03 | 2010/01/28 | 20.00         |
| 17198    | CC Rabobank B.A. - HKEx European Warrants Jan 2010 B         | 180,000,000 | 2009/06/03 | 2010/01/22 | 45.00         |
| 17199    | CC Rabobank B.A. - HSBC European Put Warrants Jun 2010       | 200,000,000 | 2009/06/03 | 2010/06/29 | 50.00         |
| 17200    | CC Rabobank B.A. - MTRC European Warrants Jan 2010           | 60,000,000  | 2009/06/03 | 2010/01/22 | 15.00         |
| 17201    | CC Rabobank B.A. - PetroChina European Warrants May 2010     | 150,000,000 | 2009/06/03 | 2010/05/03 | 23.40         |
| 17193    | SGA Societe Generale Acceptance N.V. - SHK P Eu Wt Nov 2009  | 500,000,000 | 2009/06/03 | 2009/11/04 | 75.00         |
| 17194    | UBS AG - Cheung Kong European Warrants Dec 2009              | 300,000,000 | 2009/06/03 | 2009/12/28 | 45.00         |
| 17195    | UBS AG - SHK Ppt European Warrants Nov 2010                  | 300,000,000 | 2009/06/03 | 2010/11/29 | 75.00         |
| 17196    | UBS AG - SHK Ppt European Put Warrants Jun 2010              | 300,000,000 | 2009/06/03 | 2010/06/28 | 75.00         |
| 14617#   | Merrill Lynch Int'l & Co. C.V. - Ch Mobile Eur Wt May 2010   | 200,000,000 | 2009/06/03 | 2010/05/03 | 20.20         |
| 17060#   | Merrill Lynch Int'l & Co. C.V. - HSI European Put Wts Nov09  | 300,000,000 | 2009/06/03 | 2009/11/27 | 30.00         |
| 17210    | ABN AMRO Bank N.V. - HSI European Warrants Nov 2009 A        | 400,000,000 | 2009/06/04 | 2009/11/27 | 98.80         |
| 17214    | ABN AMRO Bank N.V. - HSI European Put Warrants Nov 2009 B    | 400,000,000 | 2009/06/04 | 2009/11/27 | 98.40         |
| 17209    | Deutsche Bank AG - Cheung Kong European Warrants Dec 2009 C  | 200,000,000 | 2009/06/04 | 2009/12/28 | 30.00         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 17208    | Macquarie Bank Ltd. - China Tel European Warrants Dec 2009   | 100,000,000 | 2009/06/04 | 2009/12/30 | 35.10         |
| 17203    | SGA Societe Generale Acceptance N.V. - CP&CC Eur Wt Dec 09 G | 120,000,000 | 2009/06/04 | 2009/12/07 | 62.40         |
| 17207    | SGA Societe Generale Acceptance N.V. - A50 Ch Eu Wt Mar 10 A | 500,000,000 | 2009/06/04 | 2010/03/24 | 75.00         |
| 17205    | SGA Societe Generale Acceptance N.V. - HKEx Eu Wt Jun 2010   | 500,000,000 | 2009/06/04 | 2010/06/28 | 125.50        |
| 17204    | SGA Societe Generale Acceptance N.V. - HKEx Eu Wt Mar 2010 B | 500,000,000 | 2009/06/04 | 2010/03/29 | 129.50        |
| 17206    | SGA Societe Generale Acceptance N.V. - ICBC Eu Wt Jan 2010 A | 150,000,000 | 2009/06/04 | 2010/01/13 | 76.50         |
| 16740#   | Deutsche Bank AG - HSI European Put Warrants Oct 2009 I      | 300,000,000 | 2009/06/04 | 2009/10/29 | 30.60         |
| 17211    | ABN AMRO Bank N.V. - HKEx European Put Warrants Nov 2009 D   | 200,000,000 | 2009/06/05 | 2009/11/09 | 35.40         |
| 17235    | ABN AMRO Bank N.V. - PetroChina European Warrants Mar 2010   | 200,000,000 | 2009/06/05 | 2010/03/30 | 50.00         |
| 17227    | BNP Paribas Arbit Issu B.V. - BOCL European Wts Feb 2010     | 200,000,000 | 2009/06/05 | 2010/02/26 | 88.00         |
| 17234    | BNP Paribas Arbit Issu B.V. - HSI European Wts Dec 2009 E    | 300,000,000 | 2009/06/05 | 2009/12/30 | 81.00         |
| 17238    | BNP Paribas Arbit Issu B.V. - HSI Euro Put Wts Dec 2009 F    | 300,000,000 | 2009/06/05 | 2009/12/30 | 81.00         |
| 17233    | Deutsche Bank AG - BOCL European Warrants Dec 2009 A         | 150,000,000 | 2009/06/05 | 2009/12/21 | 37.50         |
| 17230    | Deutsche Bank AG - HKEx European Warrants May 2010           | 200,000,000 | 2009/06/05 | 2010/05/10 | 50.00         |
| 17232    | Deutsche Bank AG - HSI European Put Warrants Dec 2009 D      | 300,000,000 | 2009/06/05 | 2009/12/30 | 117.00        |
| 17228    | Deutsche Bank AG - HSI European Warrants Dec 2009 B          | 300,000,000 | 2009/06/05 | 2009/12/30 | 75.00         |
| 17229    | Deutsche Bank AG - HSI European Warrants Dec 2009 C          | 300,000,000 | 2009/06/05 | 2009/12/30 | 75.00         |
| 17221    | HK Bank - China Overseas European Warrants Feb 2010          | 180,000,000 | 2009/06/05 | 2010/02/26 | 57.60         |
| 17220    | HK Bank - China COSCO European Warrants Mar 2010             | 180,000,000 | 2009/06/05 | 2010/03/26 | 45.00         |
| 17222    | HK Bank - PICC European Warrants Dec 2010                    | 180,000,000 | 2009/06/05 | 2010/12/10 | 45.00         |
| 17223    | HK Bank - Shimao Ppt European Warrants Feb 2010              | 180,000,000 | 2009/06/05 | 2010/02/26 | 46.80         |
| 17225    | Macquarie Bank Ltd. - Cheung Kong European Warrants Jan 2010 | 300,000,000 | 2009/06/05 | 2010/01/28 | 75.30         |
| 17224    | Macquarie Bank Ltd. - China Mobile European Wts Apr 2010 B   | 400,000,000 | 2009/06/05 | 2010/04/29 | 60.00         |
| 17226    | Macquarie Bank Ltd. - HSI European Put Warrants Jan 2010 C   | 400,000,000 | 2009/06/05 | 2010/01/28 | 100.00        |
| 17212    | SGA Societe Generale Acceptance N.V. - BOCL Eu Wt Dec 2009   | 150,000,000 | 2009/06/05 | 2009/12/07 | 44.25         |
| 17213    | SGA Societe Generale Acceptance N.V. - BOCL Eu Wt Jan 2010   | 150,000,000 | 2009/06/05 | 2010/01/18 | 37.50         |
| 17215    | SGA Societe Generale Acceptance N.V. - CCoal Eur Wt Mar 2010 | 500,000,000 | 2009/06/05 | 2010/03/10 | 125.00        |
| 17217    | SGA Societe Generale Acceptance N.V. - CNOOC Eu Wt Dec 2009C | 400,000,000 | 2009/06/05 | 2009/12/23 | 68.00         |
| 17216    | SGA Societe Generale Acceptance N.V. - CP&CC Eur Wt Jan 10 C | 120,000,000 | 2009/06/05 | 2010/01/04 | 69.60         |
| 17218    | SGA Societe Generale Acceptance N.V. - HSBC Eu Wt Jun 2010 B | 500,000,000 | 2009/06/05 | 2010/06/09 | 79.50         |
| 17219    | SGA Societe Generale Acceptance N.V. - Petch Eu Wt Nov 2009F | 400,000,000 | 2009/06/05 | 2009/11/02 | 66.00         |
| 17231    | UBS AG - HKEx European Put Warrants Nov 2009 C               | 300,000,000 | 2009/06/05 | 2009/11/23 | 45.00         |
| 16508#   | ABN AMRO Bank N.V. - HSBC European Put Warrants Sep 2009     | 271,000,000 | 2009/06/05 | 2009/09/21 | 10.03         |
| 17265    | ABN AMRO Bank N.V. - China Life European Warrants Nov 2009 F | 300,000,000 | 2009/06/08 | 2009/11/03 | 65.40         |
| 17264    | ABN AMRO Bank N.V. - HKEx European Warrants Nov 2009 E       | 300,000,000 | 2009/06/08 | 2009/11/23 | 65.70         |
| 17263    | ABN AMRO Bank N.V. - HSI European Warrants Nov 2009 C        | 400,000,000 | 2009/06/08 | 2009/11/27 | 106.40        |
| 17267    | ABN AMRO Bank N.V. - HSI European Put Warrants Nov 2009 D    | 400,000,000 | 2009/06/08 | 2009/11/27 | 93.60         |
| 17242    | BNP Paribas Arbit Issu B.V. - HSI Euro Put Wts Sep 2009 I    | 300,000,000 | 2009/06/08 | 2009/09/29 | 45.00         |
| 17243    | BNP Paribas Arbit Issu B.V. - HSI Euro Put Wts Dec 2009 G    | 300,000,000 | 2009/06/08 | 2009/12/30 | 81.00         |
| 17244    | BNP Paribas Arbit Issu B.V. - HSI Euro Put Wts Dec 2009 H    | 300,000,000 | 2009/06/08 | 2009/12/30 | 87.00         |
| 17261    | Deutsche Bank AG - CNOOC European Warrants Apr 2010          | 200,000,000 | 2009/06/08 | 2010/04/26 | 50.00         |
| 17262    | Deutsche Bank AG - HSI European Warrants Dec 2009 E          | 300,000,000 | 2009/06/08 | 2009/12/30 | 75.00         |
| 17266    | Deutsche Bank AG - HSI European Put Warrants Dec 2009 F      | 300,000,000 | 2009/06/08 | 2009/12/30 | 102.00        |
| 17236    | HK Bank - HSI European Warrants Dec 2009 Q                   | 380,000,000 | 2009/06/08 | 2009/12/30 | 95.00         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 17237    | HK Bank - HSI European Warrants Dec 2009 R                   | 380,000,000 | 2009/06/08 | 2009/12/30 | 95.00         |
| 17239    | HK Bank - HSI European Warrants Dec 2009 S                   | 380,000,000 | 2009/06/08 | 2009/12/30 | 95.00         |
| 17268    | KBC Fin Products Int'l Ltd. - CNOOC European Wts Feb 2010 A  | 400,000,000 | 2009/06/08 | 2010/02/01 | 100.00        |
| 17269    | KBC Fin Products Int'l Ltd. - CNOOC Euro Put Wts Jan 2010    | 400,000,000 | 2009/06/08 | 2010/01/15 | 100.00        |
| 17271    | KBC Fin Products Int'l Ltd. - HSBC European Wts Jul 2011     | 400,000,000 | 2009/06/08 | 2011/07/05 | 100.00        |
| 17272    | KBC Fin Products Int'l Ltd. - HSBC Euro Put Wts Apr 2010     | 400,000,000 | 2009/06/08 | 2010/04/09 | 100.00        |
| 17273    | KBC Fin Products Int'l Ltd. - HSBC Euro Put Wts Sep 2010 B   | 428,000,000 | 2009/06/08 | 2010/09/01 | 64.20         |
| 17257    | KBC Fin Products Int'l Ltd. - HSI European Wts Dec 2009 A    | 400,000,000 | 2009/06/08 | 2009/12/30 | 100.00        |
| 17260    | KBC Fin Products Int'l Ltd. - HSI European Wts Dec 2009 B    | 400,000,000 | 2009/06/08 | 2009/12/30 | 100.00        |
| 17270    | KBC Fin Products Int'l Ltd. - PetroChina Euro Wts Jun 2010   | 400,000,000 | 2009/06/08 | 2010/06/08 | 100.00        |
| 17247    | Macquarie Bank Ltd. - Bank of EA European Warrants Apr 2010  | 100,000,000 | 2009/06/08 | 2010/04/29 | 25.00         |
| 17248    | Macquarie Bank Ltd. - BOCHK European Warrants Dec 2010       | 150,000,000 | 2009/06/08 | 2010/12/30 | 37.50         |
| 17245    | Macquarie Bank Ltd. - HKEx European Warrants Mar 2010        | 388,000,000 | 2009/06/08 | 2010/03/30 | 97.78         |
| 17251    | Macquarie Bank Ltd. - HSI European Warrants Feb 2010         | 400,000,000 | 2009/06/08 | 2010/02/25 | 100.00        |
| 17246    | Macquarie Bank Ltd. - ICBC European Warrants Dec 2009        | 128,000,000 | 2009/06/08 | 2009/12/30 | 45.06         |
| 17250    | Macquarie Bank Ltd. - ICBC European Put Warrants Dec 2009    | 128,000,000 | 2009/06/08 | 2009/12/30 | 32.77         |
| 17249    | Macquarie Bank Ltd. - Jiangxi Copper European Wts Dec 2009 B | 300,000,000 | 2009/06/08 | 2009/12/30 | 75.90         |
| 17276    | CC Rabobank B.A. - HKEx European Warrants May 2010           | 180,000,000 | 2009/06/08 | 2010/05/28 | 45.00         |
| 17277    | CC Rabobank B.A. - HSBC European Warrants Jun 2011           | 200,000,000 | 2009/06/08 | 2011/06/01 | 50.00         |
| 17278    | CC Rabobank B.A. - HSBC European Warrants Sep 2011           | 200,000,000 | 2009/06/08 | 2011/09/09 | 50.00         |
| 17254    | CC Rabobank B.A. - HSI European Warrants Jan 2010            | 200,000,000 | 2009/06/08 | 2010/01/28 | 50.00         |
| 17255    | CC Rabobank B.A. - HSI European Warrants Feb 2010            | 200,000,000 | 2009/06/08 | 2010/02/25 | 50.00         |
| 17256    | CC Rabobank B.A. - HSI European Warrants Mar 2010 A          | 200,000,000 | 2009/06/08 | 2010/03/30 | 50.00         |
| 17259    | CC Rabobank B.A. - HSI European Put Warrants Feb 2010        | 200,000,000 | 2009/06/08 | 2010/02/25 | 60.00         |
| 17258    | CC Rabobank B.A. - HSI European Put Warrants Jan 2010 B      | 200,000,000 | 2009/06/08 | 2010/01/28 | 50.00         |
| 17274    | CC Rabobank B.A. - Hutchison European Warrants Dec 2009 B    | 50,000,000  | 2009/06/08 | 2009/12/08 | 24.00         |
| 17275    | CC Rabobank B.A. - Tencent Holdings European Wts Feb 2010 B  | 220,000,000 | 2009/06/08 | 2010/02/23 | 55.00         |
| 17240    | SGA Societe Generale Acceptance N.V. - BOCL Eu Put Wt Dec 09 | 150,000,000 | 2009/06/08 | 2009/12/14 | 69.00         |
| 17252    | SGA Societe Generale Acceptance N.V. - CNOOC Eu Wt Feb 2010  | 400,000,000 | 2009/06/08 | 2010/02/10 | 104.40        |
| 17253    | SGA Societe Generale Acceptance N.V. - CNOOC Eu Wt Aug 2010  | 400,000,000 | 2009/06/08 | 2010/08/04 | 108.00        |
| 17241    | SGA Societe Generale Acceptance N.V. - CRail Eu Wt Dec 2009  | 50,000,000  | 2009/06/08 | 2009/12/14 | 53.00         |
| 17294    | BNP Paribas Arbit Issu B.V. - Ch Mobile Euro Wts Dec 2009    | 200,000,000 | 2009/06/09 | 2009/12/22 | 30.00         |
| 17292    | BNP Paribas Arbit Issu B.V. - China Life Euro Wts Nov 2009 B | 200,000,000 | 2009/06/09 | 2009/11/03 | 42.00         |
| 17293    | BNP Paribas Arbit Issu B.V. - China Life Euro Wts Jan 2010 B | 200,000,000 | 2009/06/09 | 2010/01/05 | 58.00         |
| 17295    | BNP Paribas Arbit Issu B.V. - PetroCh Euro Wts Dec 2009      | 200,000,000 | 2009/06/09 | 2009/12/02 | 30.00         |
| 17313    | Credit Suisse - CC Bank European Warrants Nov 2009           | 200,000,000 | 2009/06/09 | 2009/11/20 | 74.00         |
| 17314    | Credit Suisse - CC Bank European Warrants Dec 2011           | 500,000,000 | 2009/06/09 | 2011/12/12 | 75.00         |
| 17290    | HK Bank - China COSCO European Warrants Apr 2010             | 180,000,000 | 2009/06/09 | 2010/04/22 | 45.00         |
| 17291    | HK Bank - PetroChina European Warrants Feb 2011              | 180,000,000 | 2009/06/09 | 2011/02/22 | 45.00         |
| 17315    | KBC Fin Products Int'l Ltd. - China Life Euro Wts Nov 2009 D | 288,000,000 | 2009/06/09 | 2009/11/09 | 97.92         |
| 17316    | KBC Fin Products Int'l Ltd. - China Life Euro Wts Dec 2009 B | 248,000,000 | 2009/06/09 | 2009/12/18 | 99.20         |
| 17317    | KBC Fin Products Int'l Ltd. - China Life Euro Wts Dec 2009 C | 358,000,000 | 2009/06/09 | 2009/12/10 | 100.24        |
| 17318    | KBC Fin Products Int'l Ltd. - China Life Euro Wts Dec 2009 D | 400,000,000 | 2009/06/09 | 2009/12/09 | 100.00        |
| 17319    | KBC Fin Products Int'l Ltd. - China Life Euro Wts Jan 2010 A | 400,000,000 | 2009/06/09 | 2010/01/18 | 100.00        |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 17320    | KBC Fin Products Int'l Ltd. - China Life Eur Put Wt Nov 09 E | 400,000,000 | 2009/06/09 | 2009/11/20 | 100.00        |
| 17321    | KBC Fin Products Int'l Ltd. - Sinopec Euro Wts Aug 2011      | 400,000,000 | 2009/06/09 | 2011/08/01 | 100.00        |
| 17322    | KBC Fin Products Int'l Ltd. - Sinopec Corp Eu Put Wt Sep2010 | 400,000,000 | 2009/06/09 | 2010/09/28 | 100.00        |
| 17279    | Macquarie Bank Ltd. - Angang Steel European Wts Dec 2009 B   | 188,000,000 | 2009/06/09 | 2009/12/30 | 47.56         |
| 17281    | Macquarie Bank Ltd. - China COSCO European Warrants Dec 2009 | 188,000,000 | 2009/06/09 | 2009/12/30 | 47.00         |
| 17280    | Macquarie Bank Ltd. - China Coal European Warrants Mar 2010B | 150,000,000 | 2009/06/09 | 2010/03/30 | 37.65         |
| 17282    | Macquarie Bank Ltd. - China Life European Wts Dec 2009       | 288,000,000 | 2009/06/09 | 2009/12/30 | 72.29         |
| 17301    | Macquarie Bank Ltd. - CNOOC European Warrants Jun 2010       | 250,000,000 | 2009/06/09 | 2010/06/29 | 64.75         |
| 17299    | Macquarie Bank Ltd. - Hang Seng Bank European Wts Sep 2010   | 250,000,000 | 2009/06/09 | 2010/09/29 | 62.75         |
| 17285    | Merrill Lynch Int'l & Co. C.V. - Ch Overseas Eur Wt Mar 2010 | 200,000,000 | 2009/06/09 | 2010/03/01 | 62.00         |
| 17284    | Merrill Lynch Int'l & Co. C.V. - Ch Comm Cons Eu Wt Jan 2010 | 200,000,000 | 2009/06/09 | 2010/01/18 | 37.00         |
| 17283    | Merrill Lynch Int'l & Co. C.V. - Ch Life Eur Put Wt Feb 2010 | 200,000,000 | 2009/06/09 | 2010/02/08 | 81.00         |
| 17286    | Merrill Lynch Int'l & Co. C.V. - Sinopec Euro Wts Dec 2010   | 200,000,000 | 2009/06/09 | 2010/12/20 | 31.60         |
| 17288    | Merrill Lynch Int'l & Co. C.V. - HSI European Warrants Jan10 | 300,000,000 | 2009/06/09 | 2010/01/28 | 79.50         |
| 17289    | Merrill Lynch Int'l & Co. C.V. - HSI European Put Wts Feb10  | 300,000,000 | 2009/06/09 | 2010/02/25 | 87.00         |
| 17287    | Merrill Lynch Int'l & Co. C.V. - SHK Ppt Euro Put Wts Sep10  | 200,000,000 | 2009/06/09 | 2010/09/20 | 50.00         |
| 17305    | CC Rabobank B.A. - Ch Mobile European Put Wts Jun 2010       | 200,000,000 | 2009/06/09 | 2010/06/25 | 50.00         |
| 17302    | CC Rabobank B.A. - China Life European Warrants Dec 2009 A   | 80,000,000  | 2009/06/09 | 2009/12/09 | 26.40         |
| 17303    | CC Rabobank B.A. - China Life European Warrants Dec 2009 B   | 80,000,000  | 2009/06/09 | 2009/12/18 | 23.20         |
| 17311    | CC Rabobank B.A. - China Life European Put Warrants Dec 2009 | 80,000,000  | 2009/06/09 | 2009/12/18 | 33.60         |
| 17304    | CC Rabobank B.A. - Ch Mobile European Warrants Dec 2009 B    | 200,000,000 | 2009/06/09 | 2009/12/29 | 30.00         |
| 17312    | CC Rabobank B.A. - HKEx European Put Warrants Dec 2009       | 180,000,000 | 2009/06/09 | 2009/12/24 | 57.60         |
| 17306    | CC Rabobank B.A. - HKEx European Warrants Dec 2009 B         | 180,000,000 | 2009/06/09 | 2009/12/24 | 45.00         |
| 17307    | CC Rabobank B.A. - PetroChina European Warrants Nov 2009 B   | 150,000,000 | 2009/06/09 | 2009/11/23 | 22.50         |
| 17308    | CC Rabobank B.A. - PetroChina European Warrants Jul 2010     | 150,000,000 | 2009/06/09 | 2010/07/28 | 37.50         |
| 17309    | CC Rabobank B.A. - PetroChina European Warrants Oct 2010     | 150,000,000 | 2009/06/09 | 2010/10/18 | 37.50         |
| 17310    | CC Rabobank B.A. - PetroChina European Put Warrants Mar 2010 | 150,000,000 | 2009/06/09 | 2010/03/10 | 37.50         |
| 17297    | UBS AG - China Life European Warrants Dec 2009 B             | 300,000,000 | 2009/06/09 | 2009/12/21 | 165.00        |
| 17296    | UBS AG - China Life European Warrants Jan 2010 A             | 300,000,000 | 2009/06/09 | 2010/01/25 | 93.00         |
| 17298    | UBS AG - China Life European Warrants Feb 2010 A             | 300,000,000 | 2009/06/09 | 2010/02/22 | 75.00         |
| 17300    | UBS AG - China Life European Put Warrants Jan 2010 E         | 300,000,000 | 2009/06/09 | 2010/01/25 | 75.00         |
| 17356    | ABN AMRO Bank N.V. - China Life European Warrants Nov 2009 G | 250,000,000 | 2009/06/10 | 2009/11/02 | 84.50         |
| 17357    | BNP Paribas Arbit Issu B.V. - HSCEI European Wts Dec 2009 B  | 200,000,000 | 2009/06/10 | 2009/12/30 | 50.00         |
| 17361    | BNP Paribas Arbit Issu B.V. - HSCEI Euro Put Wts Dec 2009 D  | 200,000,000 | 2009/06/10 | 2009/12/30 | 50.00         |
| 17331    | HK Bank - HSCEI European Warrants Mar 2010 A                 | 180,000,000 | 2009/06/10 | 2010/03/30 | 45.00         |
| 17332    | HK Bank - HSCEI European Warrants Mar 2010 B                 | 180,000,000 | 2009/06/10 | 2010/03/30 | 45.00         |
| 17333    | HK Bank - HSCEI European Warrants Mar 2010 C                 | 180,000,000 | 2009/06/10 | 2010/03/30 | 45.00         |
| 17337    | HK Bank - HSCEI European Put Warrants Mar 2010 D             | 180,000,000 | 2009/06/10 | 2010/03/30 | 45.00         |
| 17338    | HK Bank - HSCEI European Put Warrants Mar 2010 E             | 180,000,000 | 2009/06/10 | 2010/03/30 | 45.00         |
| 17334    | HK Bank - HSI European Warrants Mar 2010 A                   | 180,000,000 | 2009/06/10 | 2010/03/30 | 45.00         |
| 17335    | HK Bank - HSI European Warrants Mar 2010 B                   | 180,000,000 | 2009/06/10 | 2010/03/30 | 45.00         |
| 17336    | HK Bank - HSI European Warrants Mar 2010 C                   | 180,000,000 | 2009/06/10 | 2010/03/30 | 45.00         |
| 17339    | HK Bank - HSI European Put Warrants Mar 2010 D               | 180,000,000 | 2009/06/10 | 2010/03/30 | 45.00         |
| 17340    | HK Bank - HSI European Put Warrants Mar 2010 E               | 180,000,000 | 2009/06/10 | 2010/03/30 | 45.00         |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 17350    | KBC Fin Products Int'l Ltd. - BOCL European Wts Jan 2010 C   | 400,000,000 | 2009/06/10 | 2010/01/04 | 100.00        |
| 17343    | KBC Fin Products Int'l Ltd. - BOCL Euro Put Wts Jan 2010 A   | 108,000,000 | 2009/06/10 | 2010/01/15 | 97.20         |
| 17342    | KBC Fin Products Int'l Ltd. - BOCL European Wts Dec 2009 B   | 400,000,000 | 2009/06/10 | 2009/12/10 | 100.00        |
| 17354    | KBC Fin Products Int'l Ltd. - Ch Mobile Eu Put Wt Jun 2010   | 400,000,000 | 2009/06/10 | 2010/06/22 | 70.00         |
| 17344    | KBC Fin Products Int'l Ltd. - CC Bank Euro Wts Dec 2009 B    | 100,000,000 | 2009/06/10 | 2009/12/18 | 100.00        |
| 17345    | KBC Fin Products Int'l Ltd. - CC Bank Euro Wts Dec 2009 C    | 128,000,000 | 2009/06/10 | 2009/12/10 | 97.28         |
| 17346    | KBC Fin Products Int'l Ltd. - CC Bank Euro Wts Jan 2010 A    | 148,000,000 | 2009/06/10 | 2010/01/04 | 96.20         |
| 17347    | KBC Fin Products Int'l Ltd. - CC Bank Euro Wts Jan 2010 B    | 400,000,000 | 2009/06/10 | 2010/01/18 | 100.00        |
| 17351    | KBC Fin Products Int'l Ltd. - China Life Euro Wts Jan 2010 B | 168,000,000 | 2009/06/10 | 2010/01/05 | 97.44         |
| 17352    | KBC Fin Products Int'l Ltd. - China Life Euro Wts Feb 2010   | 138,000,000 | 2009/06/10 | 2010/02/01 | 99.36         |
| 17353    | KBC Fin Products Int'l Ltd. - Ch Mobile Euro Wt Dec 2009 B   | 400,000,000 | 2009/06/10 | 2009/12/22 | 60.00         |
| 17355    | KBC Fin Products Int'l Ltd. - Sinopec Euro Wts Nov 2009 B    | 400,000,000 | 2009/06/10 | 2009/11/12 | 180.00        |
| 17348    | KBC Fin Products Int'l Ltd. - ICBC European Wts Dec 2009 B   | 118,000,000 | 2009/06/10 | 2009/12/18 | 93.22         |
| 17349    | KBC Fin Products Int'l Ltd. - ICBC European Wts Dec 2009 C   | 288,000,000 | 2009/06/10 | 2009/12/10 | 97.92         |
| 17323    | Merrill Lynch Int'l & Co. C.V. - HKEx Eur Put Wts Jan 2010   | 200,000,000 | 2009/06/10 | 2010/01/11 | 33.60         |
| 17326    | SGA Societe Generale Acceptance N.V.-ChiUnicom Eur Wts Dec09 | 100,000,000 | 2009/06/10 | 2009/12/23 | 26.70         |
| 17324    | SGA Societe Generale Acceptance N.V. - CCB Eur Wt Dec 2009 E | 150,000,000 | 2009/06/10 | 2009/12/21 | 60.00         |
| 17325    | SGA Societe Generale Acceptance N.V. - CLife Eu Wt Dec 2009D | 300,000,000 | 2009/06/10 | 2009/12/23 | 75.00         |
| 17329    | SGA Societe Generale Acceptance N.V. - HKEx Eu Wt Jan 2010 C | 500,000,000 | 2009/06/10 | 2010/01/13 | 109.00        |
| 17327    | SGA Societe Generale Acceptance N.V. - HSI Eur Wt Dec 2009 F | 300,000,000 | 2009/06/10 | 2009/12/30 | 75.00         |
| 17328    | SGA Societe Generale Acceptance N.V. - HSI Eur Wt Dec 2009 G | 300,000,000 | 2009/06/10 | 2009/12/30 | 75.00         |
| 17330    | SGA Societe Generale Acceptance N.V. - ICBC Eu Wt Dec 2009 C | 150,000,000 | 2009/06/10 | 2009/12/14 | 68.85         |
| 17341    | UBS AG - China Life European Put Warrants Dec 2009           | 300,000,000 | 2009/06/10 | 2009/12/21 | 75.00         |
| 17369    | Barclays Bank plc - CC Bank European Warrants Dec 2009       | 100,000,000 | 2009/06/11 | 2009/12/21 | 26.00         |
| 17370    | Barclays Bank plc - China Life European Warrants Dec 2009 B  | 300,000,000 | 2009/06/11 | 2009/12/21 | 76.50         |
| 17371    | Barclays Bank plc - A50 China European Warrants Jun 2010     | 200,000,000 | 2009/06/11 | 2010/06/29 | 50.00         |
| 17358    | HK Bank - BOCL European Warrants Dec 2009 A                  | 180,000,000 | 2009/06/11 | 2009/12/22 | 45.00         |
| 17366    | J P Morgan SP BV - Ch Comm Cons European Warrants Jan 2010   | 388,000,000 | 2009/06/11 | 2010/01/18 | 102.04        |
| 17367    | J P Morgan SP BV - JX Copper European Warrants Jan 2010      | 388,000,000 | 2009/06/11 | 2010/01/18 | 145.89        |
| 17372    | KBC Fin Products Int'l Ltd. - BOCL European Wts Mar 2010     | 400,000,000 | 2009/06/11 | 2010/03/10 | 100.00        |
| 17373    | KBC Fin Products Int'l Ltd. - A50 Ch Euro Wts Mar 2010 A     | 400,000,000 | 2009/06/11 | 2010/03/01 | 100.00        |
| 17374    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Jan 2010 A    | 400,000,000 | 2009/06/11 | 2010/01/28 | 100.00        |
| 17359    | Merrill Lynch Int'l & Co. C.V. - HS Bank Euro Wts Dec 2009   | 200,000,000 | 2009/06/11 | 2009/12/28 | 38.80         |
| 17360    | Merrill Lynch Int'l & Co. C.V. - Hutchison Euro Wts Jul 2011 | 200,000,000 | 2009/06/11 | 2011/07/18 | 31.00         |
| 17362    | Merrill Lynch Int'l & Co. C.V. - ICBC European Wts Dec 2010  | 200,000,000 | 2009/06/11 | 2010/12/06 | 32.20         |
| 17363    | CC Rabobank B.A. - BOCL European Warrants Nov 2009 B         | 60,000,000  | 2009/06/11 | 2009/11/09 | 14.40         |
| 17364    | CC Rabobank B.A. - CNOOC European Warrants Mar 2010 A        | 150,000,000 | 2009/06/11 | 2010/03/29 | 31.50         |
| 17365    | CC Rabobank B.A. - Sinopec Corp European Warrants Dec 2010   | 250,000,000 | 2009/06/11 | 2010/12/28 | 37.50         |
| 17368    | UBS AG - HSI European Put Warrants Jan 2010                  | 300,000,000 | 2009/06/11 | 2010/01/28 | 75.00         |
| 17382    | ABN AMRO Bank N.V. - BOCL European Warrants Dec 2009         | 250,000,000 | 2009/06/12 | 2009/12/28 | 67.00         |
| 17386    | ABN AMRO Bank N.V. - BOCL European Put Warrants Dec 2009     | 250,000,000 | 2009/06/12 | 2009/12/29 | 62.50         |
| 17385    | ABN AMRO Bank N.V. - ICBC European Put Warrants Dec 2009     | 250,000,000 | 2009/06/12 | 2009/12/30 | 77.25         |
| 17377    | BNP Paribas Arbit Issu B.V. - Ch Mobile Eu Put Wt Dec 2009   | 200,000,000 | 2009/06/12 | 2009/12/02 | 40.00         |
| 17378    | J P Morgan SP BV - Ch Overseas European Warrants Dec 2009    | 100,000,000 | 2009/06/12 | 2009/12/18 | 34.90         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之          |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|---------------|------------|------------|---------------|
|          |                                                              | 發行單位          | 上市日期       | 到期日        |               |
| 17379    | J P Morgan SP BV - Foxconn European Warrants Sep 2010        | 180,000,000   | 2009/06/12 | 2010/09/29 | 45.54         |
| 17380    | J P Morgan SP BV - Shimao Property European Wts Dec 2009     | 100,000,000   | 2009/06/12 | 2009/12/18 | 37.20         |
| 17381    | KBC Fin Products Int'l Ltd. - CNOOC European Wts Feb 2010 B  | 400,000,000   | 2009/06/12 | 2010/02/12 | 100.00        |
| 17375    | SGA Societe Generale Acceptance N.V. - CCB Eur Wt Jan 2010   | 150,000,000   | 2009/06/12 | 2010/01/18 | 50.25         |
| 17376    | SGA Societe Generale Acceptance N.V. - ICBC Eu Wt Jan 2010 B | 150,000,000   | 2009/06/12 | 2010/01/25 | 66.00         |
| 02435#   | BNP Paribas Arbit Issu B.V. - CC Bank European Wts Dec 2009A | 1,000,000,000 | 2009/06/12 | 2009/12/07 | 64.00         |
| 17387    | J P Morgan SP BV - HKEx European Put Wts Jan 2010            | 100,000,000   | 2009/06/15 | 2010/01/15 | 15.70         |
| 17395    | KBC Fin Products Int'l Ltd. - CNOOC European Wts Dec 2009    | 328,000,000   | 2009/06/15 | 2009/12/18 | 98.40         |
| 17388    | Macquarie Bank Ltd. - CHALCO European Warrants Dec 2009      | 200,000,000   | 2009/06/15 | 2009/12/30 | 50.20         |
| 17389    | Macquarie Bank Ltd. - CHALCO European Warrants Mar 2010      | 200,000,000   | 2009/06/15 | 2010/03/30 | 50.20         |
| 17390    | Macquarie Bank Ltd. - Yanzhou Coal European Wts Feb 2010     | 200,000,000   | 2009/06/15 | 2010/02/25 | 50.00         |
| 17391    | Macquarie Bank Ltd. - Zijin Mining European Wts May 2010     | 200,000,000   | 2009/06/15 | 2010/05/28 | 50.40         |
| 17392    | CC Rabobank B.A. - CNOOC European Warrants Apr 2010          | 150,000,000   | 2009/06/15 | 2010/04/26 | 30.90         |
| 17393    | CC Rabobank B.A. - HSBC European Warrants Jul 2011           | 200,000,000   | 2009/06/15 | 2011/07/05 | 30.00         |
| 17394    | CC Rabobank B.A. - Hutchison European Warrants Jul 2011      | 60,000,000    | 2009/06/15 | 2011/07/25 | 10.02         |
| 17383    | SGA Societe Generale Acceptance N.V. - CLife Eu Wt Jan 2010  | 300,000,000   | 2009/06/15 | 2010/01/04 | 78.00         |
| 17384    | SGA Societe Generale Acceptance N.V. - CLife Eu Wt Mar 2010  | 300,000,000   | 2009/06/15 | 2010/03/15 | 123.00        |
| 17397    | Credit Suisse - China Life European Warrants Dec 2009 A      | 200,000,000   | 2009/06/16 | 2009/12/16 | 50.00         |
| 17398    | Credit Suisse - China Life European Warrants Dec 2009 B      | 200,000,000   | 2009/06/16 | 2009/12/21 | 50.00         |
| 17400    | Credit Suisse - CNOOC European Warrants Mar 2010             | 200,000,000   | 2009/06/16 | 2010/03/29 | 42.00         |
| 17399    | Credit Suisse - Sinopec Corp European Warrants Dec 2010      | 200,000,000   | 2009/06/16 | 2010/12/28 | 30.00         |
| 17406    | Goldman Sachs SP (Asia) - HSI European Warrants Dec 2009     | 200,000,000   | 2009/06/16 | 2009/12/30 | 50.00         |
| 17409    | Goldman Sachs SP (Asia) - HSI European Put Wts Dec 2009 B    | 200,000,000   | 2009/06/16 | 2009/12/30 | 50.00         |
| 17410    | Goldman Sachs SP (Asia) - HSI European Put Wts Dec 2009 C    | 200,000,000   | 2009/06/16 | 2009/12/30 | 50.00         |
| 17407    | Goldman Sachs SP (Asia) - HSI European Put Wts Jan 2010 A    | 200,000,000   | 2009/06/16 | 2010/01/28 | 50.00         |
| 17408    | Goldman Sachs SP (Asia) - HSI European Put Wts Jan 2010 B    | 200,000,000   | 2009/06/16 | 2010/01/28 | 50.00         |
| 17411    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Dec 2009 D    | 400,000,000   | 2009/06/16 | 2009/12/30 | 100.00        |
| 17396    | Merrill Lynch Int'l & Co. C.V. - HSBC Euro Wts May 2011 B    | 200,000,000   | 2009/06/16 | 2011/05/30 | 30.60         |
| 17401    | CC Rabobank B.A. - CC Bank European Warrants Dec 2011        | 100,000,000   | 2009/06/16 | 2011/12/12 | 15.00         |
| 17402    | CC Rabobank B.A. - CC Bank European Put Warrants Oct 2011    | 100,000,000   | 2009/06/16 | 2011/10/31 | 25.00         |
| 17403    | CC Rabobank B.A. - CNOOC European Warrants Jun 2010 B        | 150,000,000   | 2009/06/16 | 2010/06/04 | 37.50         |
| 17404    | CC Rabobank B.A. - CNOOC European Warrants Oct 2010          | 150,000,000   | 2009/06/16 | 2010/10/22 | 37.50         |
| 17405    | CC Rabobank B.A. - Tencent Holdings European Wts Jun 2010    | 220,000,000   | 2009/06/16 | 2010/06/10 | 55.00         |
| 17178#   | Macquarie Bank Ltd. - CNOOC European Warrants Sep 2009 B     | 250,000,000   | 2009/06/16 | 2009/09/29 | 34.00         |
| 17031#   | ABN AMRO Bank N.V. - CC Bank European Warrants Nov 2009 A    | 100,000,000   | 2009/06/16 | 2009/11/23 | 49.50         |
| 16086#   | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Sep 2009 A    | 722,000,000   | 2009/06/16 | 2009/09/29 | 58.48         |
| 16087#   | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Sep 2009 B    | 532,000,000   | 2009/06/16 | 2009/09/29 | 50.54         |
| 17424    | ABN AMRO Bank N.V. - CC Bank European Warrants Dec 2009 A    | 150,000,000   | 2009/06/17 | 2009/12/21 | 92.55         |
| 17429    | ABN AMRO Bank N.V. - CC Bank European Put Warrants Dec 2009  | 100,000,000   | 2009/06/17 | 2009/12/17 | 43.20         |
| 17425    | ABN AMRO Bank N.V. - CC Bank European Warrants Nov 2009 B    | 150,000,000   | 2009/06/17 | 2009/11/30 | 60.15         |
| 17426    | ABN AMRO Bank N.V. - ICBC European Warrants Dec 2009 A       | 150,000,000   | 2009/06/17 | 2009/12/17 | 94.80         |
| 17427    | ABN AMRO Bank N.V. - ICBC European Warrants Dec 2009 B       | 150,000,000   | 2009/06/17 | 2009/12/17 | 54.15         |
| 17431    | Deutsche Bank AG - China Mobile European Warrants Mar 2010   | 200,000,000   | 2009/06/17 | 2010/03/30 | 30.00         |
| 17430    | Deutsche Bank AG - China Life European Warrants Dec 2009 E   | 300,000,000   | 2009/06/17 | 2009/12/28 | 75.00         |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 17428    | Deutsche Bank AG - A50 China European Warrants Mar 2010 B    | 200,000,000 | 2009/06/17 | 2010/03/22 | 50.00         |
| 17432    | Deutsche Bank AG - A50 China European Put Wts Mar 2010       | 200,000,000 | 2009/06/17 | 2010/03/22 | 50.00         |
| 17433    | Deutsche Bank AG - HKEx European Warrants Dec 2009 H         | 200,000,000 | 2009/06/17 | 2009/12/28 | 50.00         |
| 17434    | Deutsche Bank AG - ICBC European Warrants Dec 2009 B         | 200,000,000 | 2009/06/17 | 2009/12/21 | 80.00         |
| 17414    | HK Bank - BOCL European Warrants Dec 2009 B                  | 180,000,000 | 2009/06/17 | 2009/12/22 | 45.00         |
| 17416    | HK Bank - A50 China European Warrants Sep 2010               | 180,000,000 | 2009/06/17 | 2010/09/20 | 45.00         |
| 17415    | HK Bank - Jiangxi Copper European Warrants Mar 2010 B        | 180,000,000 | 2009/06/17 | 2010/03/17 | 45.00         |
| 17435    | KBC Fin Products Int'l Ltd. - BOCL European Wts Dec 2009 C   | 400,000,000 | 2009/06/17 | 2009/12/17 | 100.00        |
| 17436    | KBC Fin Products Int'l Ltd. - China Life Euro Wts Jan 2010 C | 400,000,000 | 2009/06/17 | 2010/01/11 | 100.00        |
| 17438    | KBC Fin Products Int'l Ltd. - HSCEI Euro Wts Dec 2009 D      | 400,000,000 | 2009/06/17 | 2009/12/30 | 100.00        |
| 17442    | KBC Fin Products Int'l Ltd. - HSCEI Euro Put Wts Dec 2009 F  | 400,000,000 | 2009/06/17 | 2009/12/30 | 100.00        |
| 17439    | KBC Fin Products Int'l Ltd. - HSCEI Euro Put Wts Jan 2010    | 400,000,000 | 2009/06/17 | 2010/01/28 | 100.00        |
| 17440    | KBC Fin Products Int'l Ltd. - HSI European Wts Dec 2009 E    | 400,000,000 | 2009/06/17 | 2009/12/30 | 100.00        |
| 17441    | KBC Fin Products Int'l Ltd. - HSI European Wts Dec 2009 F    | 400,000,000 | 2009/06/17 | 2009/12/30 | 100.00        |
| 17437    | KBC Fin Products Int'l Ltd. - ICBC European Wts Feb 2010 A   | 308,000,000 | 2009/06/17 | 2010/02/01 | 98.56         |
| 17412    | Macquarie Bank Ltd. - China Overseas European Wts Dec 2009 B | 200,000,000 | 2009/06/17 | 2009/12/17 | 50.00         |
| 17413    | Macquarie Bank Ltd. - Shimao Ppt European Warrants Dec 2009  | 200,000,000 | 2009/06/17 | 2009/12/17 | 50.00         |
| 17418    | CC Rabobank B.A. - HSI European Warrants Dec 2009 F          | 200,000,000 | 2009/06/17 | 2009/12/30 | 60.00         |
| 17419    | CC Rabobank B.A. - HSI European Warrants Mar 2010 B          | 200,000,000 | 2009/06/17 | 2010/03/30 | 50.00         |
| 17422    | CC Rabobank B.A. - HSI European Put Warrants Dec 2009 G      | 200,000,000 | 2009/06/17 | 2009/12/30 | 50.00         |
| 17443    | UBS AG - China Mobile European Warrants Mar 2010 A           | 300,000,000 | 2009/06/17 | 2010/03/29 | 45.00         |
| 17423    | UBS AG - CC Bank European Warrants Jan 2010 A                | 300,000,000 | 2009/06/17 | 2010/01/25 | 75.00         |
| 17421    | UBS AG - CC Bank European Warrants Dec 2009 D                | 300,000,000 | 2009/06/17 | 2009/12/28 | 75.00         |
| 17420    | UBS AG - China Life European Warrants Jan 2010 B             | 300,000,000 | 2009/06/17 | 2010/01/25 | 75.00         |
| 17417    | UBS AG - China Life European Warrants Feb 2010 B             | 300,000,000 | 2009/06/17 | 2010/02/22 | 120.00        |
| 17444    | UBS AG - China Mobile European Warrants Apr 2010 C           | 300,000,000 | 2009/06/17 | 2010/04/26 | 45.00         |
| 17475    | ABN AMRO Bank N.V. - Sinopec Corp European Warrants Dec 2009 | 100,000,000 | 2009/06/18 | 2009/12/21 | 62.20         |
| 17474    | ABN AMRO Bank N.V. - Sinopec Corp European Warrants Sep 2010 | 300,000,000 | 2009/06/18 | 2010/09/30 | 50.10         |
| 17473    | ABN AMRO Bank N.V. - HKEx European Warrants Dec 2009         | 200,000,000 | 2009/06/18 | 2009/12/21 | 50.00         |
| 17476    | ABN AMRO Bank N.V. - HKEx European Put Warrants Dec 2009 B   | 200,000,000 | 2009/06/18 | 2009/12/02 | 38.60         |
| 17468    | Deutsche Bank AG - BOCL European Warrants Dec 2009 B         | 200,000,000 | 2009/06/18 | 2009/12/28 | 50.00         |
| 17456    | HK Bank - Angang Steel European Warrants Jan 2010            | 180,000,000 | 2009/06/18 | 2010/01/12 | 45.00         |
| 17457    | HK Bank - CM Bank European Warrants Dec 2009                 | 180,000,000 | 2009/06/18 | 2009/12/23 | 45.00         |
| 17458    | HK Bank - Zijin Mining European Warrants May 2010            | 180,000,000 | 2009/06/18 | 2010/05/06 | 45.00         |
| 17451    | J P Morgan SP BV - Angang Steel European Warrants Dec 2009   | 188,000,000 | 2009/06/18 | 2009/12/30 | 60.35         |
| 17452    | J P Morgan SP BV - China Coal European Warrants Nov 2009     | 200,000,000 | 2009/06/18 | 2009/11/13 | 53.80         |
| 17453    | J P Morgan SP BV - HKEx European Warrants Nov 2009           | 200,000,000 | 2009/06/18 | 2009/11/23 | 47.40         |
| 17454    | J P Morgan SP BV - PICC European Warrants Dec 2010           | 188,000,000 | 2009/06/18 | 2010/12/30 | 47.75         |
| 17455    | J P Morgan SP BV - Zijin Mining European Warrants Feb 2010   | 180,000,000 | 2009/06/18 | 2010/02/11 | 39.24         |
| 17466    | KBC Fin Products Int'l Ltd. - HSI European Wts Dec 2009 G    | 400,000,000 | 2009/06/18 | 2009/12/30 | 100.00        |
| 17467    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Jan 2010 B    | 588,000,000 | 2009/06/18 | 2010/01/28 | 99.96         |
| 17463    | Macquarie Bank Ltd. - CITIC Bank European Warrants Dec 2009D | 200,000,000 | 2009/06/18 | 2009/12/30 | 72.80         |
| 17464    | Macquarie Bank Ltd. - Henderson Land Dev Euro Wts Jun 2010   | 200,000,000 | 2009/06/18 | 2010/06/29 | 135.20        |
| 17465    | Macquarie Bank Ltd. - Wharf European Warrants Jun 2010       | 200,000,000 | 2009/06/18 | 2010/06/29 | 102.00        |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |               |
| 17449    | Merrill Lynch Int'l & Co. C.V. - BOCL European Put Wts Jan10 | 200,000,000 | 2009/06/18 | 2010/01/11 | 85.00         |
| 17445    | Merrill Lynch Int'l & Co. C.V. - BOCL European Wts Jan 2010B | 200,000,000 | 2009/06/18 | 2010/01/04 | 74.00         |
| 17446    | Merrill Lynch Int'l & Co. C.V. - Ch Mobile Eur Wt Oct 2010   | 200,000,000 | 2009/06/18 | 2010/10/11 | 38.20         |
| 17450    | Merrill Lynch Int'l & Co. C.V. - Ch Mobile Eu Put Wt Jun 10  | 200,000,000 | 2009/06/18 | 2010/06/21 | 32.60         |
| 17448    | Merrill Lynch Int'l & Co. C.V. - HKEx Eur Put Wts Feb 2010   | 200,000,000 | 2009/06/18 | 2010/02/08 | 55.00         |
| 17447    | Merrill Lynch Int'l & Co. C.V. - HKEx Euro Wts Jan 2010 C    | 200,000,000 | 2009/06/18 | 2010/01/20 | 43.20         |
| 17459    | CC Rabobank B.A. - Ch Mobile European Warrants Apr 2010 A    | 200,000,000 | 2009/06/18 | 2010/04/19 | 38.00         |
| 17460    | CC Rabobank B.A. - Ch Mobile European Warrants Apr 2010 B    | 200,000,000 | 2009/06/18 | 2010/04/29 | 36.00         |
| 17461    | CC Rabobank B.A. - HKEx European Warrants Mar 2010 B         | 180,000,000 | 2009/06/18 | 2010/03/31 | 45.00         |
| 17462    | CC Rabobank B.A. - HSBC European Warrants Dec 2010 B         | 200,000,000 | 2009/06/18 | 2010/12/28 | 30.00         |
| 17470    | UBS AG - China Mobile European Warrants Mar 2010 B           | 300,000,000 | 2009/06/18 | 2010/03/29 | 75.00         |
| 17471    | UBS AG - HKEx European Warrants Jan 2010 B                   | 300,000,000 | 2009/06/18 | 2010/01/18 | 45.00         |
| 17472    | UBS AG - HKEx European Put Warrants Dec 2009 E               | 300,000,000 | 2009/06/18 | 2009/12/28 | 45.00         |
| 17469    | UBS AG - ICBC European Warrants Dec 2009                     | 300,000,000 | 2009/06/18 | 2009/12/28 | 123.00        |
| 17503    | ABN AMRO Bank N.V. - China Mobile European Wts Dec 2009      | 200,000,000 | 2009/06/19 | 2009/12/29 | 30.00         |
| 17501    | KBC Fin Products Int'l Ltd. - CC Bank Euro Wts Mar 2010      | 368,000,000 | 2009/06/19 | 2010/03/01 | 99.36         |
| 17500    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Feb 2010      | 400,000,000 | 2009/06/19 | 2010/02/25 | 100.00        |
| 17502    | KBC Fin Products Int'l Ltd. - ICBC European Wts Feb 2010 B   | 400,000,000 | 2009/06/19 | 2010/02/12 | 100.00        |
| 17490    | Macquarie Bank Ltd. - CRCC European Warrants Sep 2010        | 300,000,000 | 2009/06/19 | 2010/09/29 | 75.30         |
| 17499    | Standard Bank PLC - A50 China European Warrants Feb 2010     | 200,000,000 | 2009/06/19 | 2010/02/26 | 50.00         |
| 17495    | SGA Societe Generale Acceptance N.V. - HKEx Eu Put Wt Jan 10 | 500,000,000 | 2009/06/19 | 2010/01/04 | 125.50        |
| 17491    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Dec 09H | 300,000,000 | 2009/06/19 | 2009/12/30 | 79.50         |
| 17492    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Dec 09I | 300,000,000 | 2009/06/19 | 2009/12/30 | 93.00         |
| 17493    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Dec 09J | 300,000,000 | 2009/06/19 | 2009/12/30 | 108.00        |
| 17494    | SGA Societe Generale Acceptance N.V. - HSI Eu Put Wt Dec 09K | 300,000,000 | 2009/06/19 | 2009/12/30 | 124.50        |
| 17496    | SGA Societe Generale Acceptance N.V. - ICBC Eu Put Wt Dec09E | 150,000,000 | 2009/06/19 | 2009/12/21 | 100.05        |
| 17498    | UBS AG - Sinopec Corp European Warrants Dec 2010             | 300,000,000 | 2009/06/19 | 2010/12/20 | 45.00         |
| 17497    | UBS AG - Sinopec Corp European Warrants Jul 2011             | 300,000,000 | 2009/06/19 | 2011/07/25 | 48.00         |
| 15398#   | Deutsche Bank AG - Sinopec Corp European Warrants Nov 2009 A | 300,000,000 | 2009/06/19 | 2009/11/09 | 23.70         |
| 15715#   | SGA Societe Generale Acceptance N.V. - CP&CC Eur Wt Nov 09A  | 500,000,000 | 2009/06/19 | 2009/11/23 | 36.50         |
| 17480    | Macquarie Bank Ltd. - HSCEI European Put Warrants Dec 2009 D | 200,000,000 | 2009/06/22 | 2009/12/30 | 50.00         |
| 17477    | CC Rabobank B.A. - A50 China European Warrants Jul 2010      | 100,000,000 | 2009/06/22 | 2010/07/19 | 25.00         |
| 17478    | CC Rabobank B.A. - A50 China European Warrants Sep 2010      | 100,000,000 | 2009/06/22 | 2010/09/10 | 25.00         |
| 17479    | CC Rabobank B.A. - A50 China European Warrants Nov 2010      | 100,000,000 | 2009/06/22 | 2010/11/12 | 25.00         |
| 17481    | UBS AG - A50 China European Warrants Mar 2010 B              | 300,000,000 | 2009/06/22 | 2010/03/29 | 75.00         |
| 17482    | UBS AG - A50 China European Put Warrants Mar 2010            | 300,000,000 | 2009/06/22 | 2010/03/22 | 45.00         |
| 17485    | HK Bank - CHALCO European Warrants Jun 2010 B                | 180,000,000 | 2009/06/23 | 2010/06/22 | 45.00         |
| 17505    | HK Bank - China Overseas European Warrants Dec 2009          | 180,000,000 | 2009/06/23 | 2009/12/23 | 45.00         |
| 17504    | HK Bank - CC Bank European Warrants Dec 2009                 | 180,000,000 | 2009/06/23 | 2009/12/23 | 117.00        |
| 17486    | HK Bank - China Coal European Warrants Mar 2010              | 180,000,000 | 2009/06/23 | 2010/03/22 | 45.00         |
| 17488    | HK Bank - CNOOC European Warrants Apr 2010                   | 180,000,000 | 2009/06/23 | 2010/04/22 | 45.00         |
| 17489    | HK Bank - Sinopec Corp European Warrants Jan 2010            | 180,000,000 | 2009/06/23 | 2010/01/12 | 158.40        |
| 17487    | HK Bank - China Railway European Warrants Dec 2010           | 180,000,000 | 2009/06/23 | 2010/12/29 | 45.00         |
| 17483    | Macquarie Bank Ltd. - China Unicom European Wts Sep 2010     | 300,000,000 | 2009/06/23 | 2010/09/29 | 75.00         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                          | 上市時之        |            |            | 集資金額<br>(百萬元) |
|----------|---------------------------------------------------------------|-------------|------------|------------|---------------|
|          |                                                               | 發行單位        | 上市日期       | 到期日        |               |
| 17484    | Macquarie Bank Ltd. - HSCEI European Warrants Jan 2010        | 200,000,000 | 2009/06/23 | 2010/01/28 | 50.00         |
| 17028#   | Deutsche Bank AG - HKEx European Warrants Nov 2009 D          | 200,000,000 | 2009/06/23 | 2009/11/30 | 34.20         |
| 17506    | Macquarie Bank Ltd. - China Mobile European Wts Oct 2010      | 250,000,000 | 2009/06/24 | 2010/10/13 | 37.50         |
| 17509    | SGA Societe Generale Acceptance N.V. - CCB Eur Wt Dec 2011    | 500,000,000 | 2009/06/24 | 2011/12/05 | 87.00         |
| 17507    | SGA Societe Generale Acceptance N.V.-Chi COSCO Euro Wts Feb10 | 150,000,000 | 2009/06/24 | 2010/02/17 | 46.50         |
| 17508    | SGA Societe Generale Acceptance N.V. - Petch Eu Wt Mar 2010   | 300,000,000 | 2009/06/24 | 2010/03/24 | 45.00         |
| 17510    | UBS AG - CM Bank European Warrants Dec 2009 A                 | 300,000,000 | 2009/06/24 | 2009/12/28 | 45.00         |
| 17511    | UBS AG - CM Bank European Warrants Dec 2009 B                 | 300,000,000 | 2009/06/24 | 2009/12/28 | 75.00         |
| 16518#   | Deutsche Bank AG - China Life European Warrants Oct 2009 B    | 300,000,000 | 2009/06/24 | 2009/10/19 | 48.00         |
| 17512    | ABN AMRO Bank N.V. - A50 China European Warrants Mar 2010     | 200,000,000 | 2009/06/25 | 2010/03/01 | 42.60         |
| 17513    | ABN AMRO Bank N.V. - A50 China European Put Wts Dec 2009      | 200,000,000 | 2009/06/25 | 2009/12/30 | 37.20         |
| 17517    | Deutsche Bank AG - Sinopec Corp European Warrants Dec 2009 B  | 200,000,000 | 2009/06/25 | 2009/12/28 | 56.00         |
| 17520    | J P Morgan SP BV - CC Bank Euro Put Wts Dec 2009              | 188,000,000 | 2009/06/25 | 2009/12/23 | 44.37         |
| 17519    | J P Morgan SP BV - Cheung Kong European Put Warrants Mar2010  | 188,000,000 | 2009/06/25 | 2010/03/01 | 35.34         |
| 17521    | J P Morgan SP BV - China Life European Put Warrants Oct 2009  | 188,000,000 | 2009/06/25 | 2009/10/22 | 33.28         |
| 17522    | J P Morgan SP BV - Ch Railway Cons European Warrants Feb2010  | 188,000,000 | 2009/06/25 | 2010/02/08 | 49.82         |
| 17524    | J P Morgan SP BV - A50 China European Warrants Mar 2010       | 288,000,000 | 2009/06/25 | 2010/03/30 | 74.59         |
| 17523    | J P Morgan SP BV - HS Bank European Put Warrants Mar 2010     | 150,000,000 | 2009/06/25 | 2010/03/30 | 37.65         |
| 17530    | KBC Fin Products Int'l Ltd. - HSI European Wts Dec 2009 I     | 400,000,000 | 2009/06/25 | 2009/12/30 | 100.00        |
| 17518    | KBC Fin Products Int'l Ltd. - HSI Euro Put Wts Dec 2009 H     | 400,000,000 | 2009/06/25 | 2009/12/30 | 100.00        |
| 17514    | CC Rabobank B.A. - A50 China European Warrants Jun 2010 B     | 100,000,000 | 2009/06/25 | 2010/06/18 | 25.00         |
| 17515    | CC Rabobank B.A. - A50 China European Warrants Oct 2010       | 100,000,000 | 2009/06/25 | 2010/10/08 | 25.00         |
| 17516    | CC Rabobank B.A. - A50 China European Put Warrants Jan 2010   | 100,000,000 | 2009/06/25 | 2010/01/22 | 34.00         |
| 17525    | UBS AG - CNOOC European Warrants Dec 2009                     | 300,000,000 | 2009/06/25 | 2009/12/28 | 45.00         |
| 17526    | UBS AG - CNOOC European Warrants Feb 2010                     | 300,000,000 | 2009/06/25 | 2010/02/08 | 45.00         |
| 17527    | UBS AG - CNOOC European Warrants Aug 2010                     | 300,000,000 | 2009/06/25 | 2010/08/02 | 45.00         |
| 17528    | UBS AG - CNOOC European Put Warrants Apr 2010                 | 300,000,000 | 2009/06/25 | 2010/04/26 | 75.00         |
| 17529    | UBS AG - Jiangxi Copper European Warrants Dec 2009 B          | 300,000,000 | 2009/06/25 | 2009/12/28 | 75.00         |
| 16665#   | CC Rabobank B.A. - A50 China European Put Warrants Nov 2009   | 200,000,000 | 2009/06/25 | 2009/11/27 | 12.40         |
| 15863#   | SGA Societe Generale Acceptance N.V. - CP&CC Eur Wt Nov 09B   | 500,000,000 | 2009/06/25 | 2009/11/02 | 40.50         |
| 17546    | BOCI Asia Ltd. - Mongolia Energy European Warrants Dec 2009   | 200,000,000 | 2009/06/26 | 2009/12/28 | 170.00        |
| 17547    | BNP Paribas Arbit Issu B.V. - A50 China Euro Wts Apr 2010     | 200,000,000 | 2009/06/26 | 2010/04/26 | 50.00         |
| 17548    | Credit Suisse - A50 China European Warrants Feb 2010          | 200,000,000 | 2009/06/26 | 2010/02/22 | 50.00         |
| 17552    | Credit Suisse - A50 China European Put Warrants Feb 2010      | 200,000,000 | 2009/06/26 | 2010/02/22 | 50.00         |
| 17538    | HK Bank - BOCL European Put Warrants Jan 2010                 | 180,000,000 | 2009/06/26 | 2010/01/11 | 45.00         |
| 17539    | HK Bank - CC Bank European Put Warrants Jan 2010              | 180,000,000 | 2009/06/26 | 2010/01/12 | 75.60         |
| 17540    | HK Bank - China Life European Put Warrants Jan 2010           | 180,000,000 | 2009/06/26 | 2010/01/22 | 45.00         |
| 17541    | HK Bank - HKEx European Put Warrants Aug 2010                 | 180,000,000 | 2009/06/26 | 2010/08/18 | 45.00         |
| 17542    | HK Bank - ICBC European Put Warrants Jan 2010                 | 180,000,000 | 2009/06/26 | 2010/01/18 | 64.80         |
| 17531    | Macquarie Bank Ltd. - CM Bank European Warrants Feb 2010      | 200,000,000 | 2009/06/26 | 2010/02/25 | 50.20         |
| 17533    | Macquarie Bank Ltd. - Sinopec Corp Euro Put Wts Dec 2009      | 150,000,000 | 2009/06/26 | 2009/12/30 | 91.50         |
| 17532    | Macquarie Bank Ltd. - A50 China European Put Warrants Apr 10  | 250,000,000 | 2009/06/26 | 2010/04/08 | 62.50         |
| 17534    | Merrill Lynch Int'l & Co. C.V. - CM Bank Euro Wts Mar 2010    | 200,000,000 | 2009/06/26 | 2010/03/15 | 87.00         |
| 17537    | Merrill Lynch Int'l & Co. C.V.-Sinopec Eu Put Warrants Dec09  | 200,000,000 | 2009/06/26 | 2009/12/29 | 95.00         |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            |            | 集資金額<br>(百萬港元) |
|----------|--------------------------------------------------------------|-------------|------------|------------|----------------|
|          |                                                              | 發行單位        | 上市日期       | 到期日        |                |
| 17535    | Merrill Lynch Int'l & Co. C.V. - ICBC European Wts Jan 2010  | 200,000,000 | 2009/06/26 | 2010/01/28 | 162.00         |
| 17536    | Merrill Lynch Int'l & Co. C.V. - ICBC European Put Wts Feb10 | 200,000,000 | 2009/06/26 | 2010/02/01 | 120.00         |
| 17543    | SGA Societe Generale Acceptance N.V. - BOCm Eur Wt Aug 2010  | 200,000,000 | 2009/06/26 | 2010/08/02 | 50.00          |
| 17544    | SGA Societe Generale Acceptance N.V. - CITBK Euro Wts Dec09  | 50,000,000  | 2009/06/26 | 2009/12/28 | 35.80          |
| 17545    | SGA Societe Generale Acceptance N.V. - HWL Eur Wt Jul 2010   | 500,000,000 | 2009/06/26 | 2010/07/21 | 75.50          |
| 17551    | Citigroup Global Mkt H Inc. - CITIC Pacific Eu Wt Apr 2010   | 150,000,000 | 2009/06/29 | 2010/04/26 | 46.50          |
| 17550    | Citigroup Global Mkt H Inc. - CM Bank European Wts Apr 2010  | 175,000,000 | 2009/06/29 | 2010/04/26 | 43.75          |
| 17549    | Citigroup Global Mkt H Inc. - A50 China European Wts May10   | 175,000,000 | 2009/06/29 | 2010/05/31 | 43.75          |
| 17554    | Citigroup Global Mkt H Inc. - A50 China Eur Put Wts May10    | 175,000,000 | 2009/06/29 | 2010/05/31 | 45.50          |
| 17553    | Citigroup Global Mkt H Inc. - ICBC European Wts Apr 2010     | 75,000,000  | 2009/06/29 | 2010/04/26 | 51.00          |
| 17577    | KBC Fin Products Int'l Ltd. - China Life Eur Put Wt Nov 09 F | 400,000,000 | 2009/06/29 | 2009/11/09 | 100.00         |
| 17575    | Macquarie Bank Ltd. - A50 China European Warrants Feb 2010   | 200,000,000 | 2009/06/29 | 2010/02/25 | 50.20          |
| 17576    | Macquarie Bank Ltd. - Tencent European Warrants Dec 2010     | 200,000,000 | 2009/06/29 | 2010/12/30 | 50.00          |
| 17555    | UBS AG - BOCL European Warrants Jan 2010 A                   | 300,000,000 | 2009/06/29 | 2010/01/11 | 99.00          |
| 17556    | UBS AG - BOCL European Warrants Jan 2010 B                   | 300,000,000 | 2009/06/29 | 2010/01/11 | 81.00          |
| 17563    | UBS AG - China Mobile European Put Warrants Jun 2010         | 300,000,000 | 2009/06/29 | 2010/06/28 | 52.50          |
| 17558    | UBS AG - CC Bank European Warrants Mar 2010                  | 300,000,000 | 2009/06/29 | 2010/03/29 | 75.00          |
| 17570    | UBS AG - CC Bank European Put Warrants Jan 2010              | 300,000,000 | 2009/06/29 | 2010/01/25 | 219.00         |
| 17557    | UBS AG - CC Bank European Warrants Jan 2010 B                | 300,000,000 | 2009/06/29 | 2010/01/25 | 225.00         |
| 17559    | UBS AG - China Life European Warrants Oct 2009               | 200,000,000 | 2009/06/29 | 2009/10/12 | 30.00          |
| 17560    | UBS AG - China Life European Warrants Nov 2009               | 200,000,000 | 2009/06/29 | 2009/11/23 | 30.00          |
| 17561    | UBS AG - China Life European Warrants Jan 2010 C             | 300,000,000 | 2009/06/29 | 2010/01/11 | 108.00         |
| 17562    | UBS AG - China Life European Warrants Jan 2010 D             | 300,000,000 | 2009/06/29 | 2010/01/18 | 45.00          |
| 17571    | UBS AG - China Life European Put Warrants Jan 2010 F         | 300,000,000 | 2009/06/29 | 2010/01/25 | 75.00          |
| 17564    | UBS AG - China Mobile European Put Warrants Jul 2010 B       | 300,000,000 | 2009/06/29 | 2010/07/19 | 75.00          |
| 17565    | UBS AG - Sinopec Corp European Put Warrants Oct 2010         | 300,000,000 | 2009/06/29 | 2010/10/25 | 75.00          |
| 17568    | UBS AG - A50 China European Put Warrants Dec 2009            | 200,000,000 | 2009/06/29 | 2009/12/28 | 30.00          |
| 17569    | UBS AG - A50 China European Put Warrants Jan 2010            | 300,000,000 | 2009/06/29 | 2010/01/11 | 75.00          |
| 17567    | UBS AG - HKEx European Warrants Jun 2010                     | 300,000,000 | 2009/06/29 | 2010/06/28 | 75.00          |
| 17572    | UBS AG - HKEx European Put Warrants Jan 2010                 | 300,000,000 | 2009/06/29 | 2010/01/11 | 75.00          |
| 17573    | UBS AG - HKEx European Put Warrants Feb 2010                 | 300,000,000 | 2009/06/29 | 2010/02/22 | 75.00          |
| 17574    | UBS AG - HKEx European Put Warrants Jul 2010                 | 300,000,000 | 2009/06/29 | 2010/07/12 | 75.00          |
| 17566    | UBS AG - HKEx European Warrants Feb 2010 B                   | 300,000,000 | 2009/06/29 | 2010/02/22 | 75.00          |
| 17583    | Deutsche Bank AG - HSI European Put Warrants Dec 2009 G      | 300,000,000 | 2009/06/30 | 2009/12/30 | 75.00          |
| 17584    | KBC Fin Products Int'l Ltd. - BOCL Euro Put Wts Jan 2010 B   | 400,000,000 | 2009/06/30 | 2010/01/04 | 100.00         |
| 17578    | CC Rabobank B.A. - CNOOC European Warrants Mar 2010 B        | 130,000,000 | 2009/06/30 | 2010/03/30 | 32.50          |
| 17579    | CC Rabobank B.A. - CNOOC European Warrants Jul 2010          | 130,000,000 | 2009/06/30 | 2010/07/16 | 32.50          |
| 17580    | CC Rabobank B.A. - CNOOC European Warrants Nov 2010          | 130,000,000 | 2009/06/30 | 2010/11/05 | 32.50          |
| 17581    | CC Rabobank B.A. - CNOOC European Put Warrants May 2010      | 130,000,000 | 2009/06/30 | 2010/05/26 | 26.00          |
| 17582    | CC Rabobank B.A. - Renhe Comm European Warrants Jan 2010     | 88,000,000  | 2009/06/30 | 2010/01/08 | 28.16          |
| 總額       |                                                              |             |            |            | 68,757.45      |

# 進一步發行

# 主板 債務證券

## 債券交易統計

|      |     | 成交金額         |            |
|------|-----|--------------|------------|
|      |     | 外匯基金票據(百萬港元) | 市場總值(百萬港元) |
| 2008 | 第2季 | —            | 1.75       |
|      | 第3季 | 0.26         | 1.51       |
|      | 第4季 | —            | 1.71       |
| 2009 | 第1季 | —            | 2.93       |
|      | 第2季 | —            | 0.51       |

## 債券面值

|      |     | 發行數目 | 面值(百萬港元)   |
|------|-----|------|------------|
| 2008 | 第2季 | 175  | 435,938.30 |
|      | 第3季 | 174  | 440,409.79 |
|      | 第4季 | 172  | 414,001.69 |
| 2009 | 第1季 | 171  | 406,932.13 |
|      | 第2季 | 167  | 395,723.72 |

## 新上市統計 — 債券

|      |     | 新上市債券數目 | 集資金額(百萬港元) |
|------|-----|---------|------------|
| 2008 | 第2季 | 7       | 16,607.66  |
|      | 第3季 | 5       | 11,822.87  |
|      | 第4季 | 4       | 4,791.32   |
| 2009 | 第1季 | 4       | 5,309.25   |
|      | 第2季 | 5       | 12,295.05  |

# 主 板 債 務 證 券

## 新上市債券

2009年第2季

| 股份<br>代號 | 債券                                                      | 發行本金 |               | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|---------------------------------------------------------|------|---------------|------------|------------|----------------|
| 04307    | Kowloon-Canton Railway Corporation<br>5.125% Notes 2019 | USD  | 750,000,000   | 2009/05/19 | 2019/05/20 | 5,830.05       |
| 04189    | 香港金融管理局0.64%外匯基金票據2011年                                 | HKD  | 1,200,000,000 | 2009/05/19 | 2011/05/18 | 1,203.60       |
| 04308    | Power Regal Group Ltd. 2.25%<br>有擔保可換股債券2014年           | HKD  | 2,175,000,000 | 2009/06/03 | 2014/06/02 | 2,175.00       |
| 04190    | 香港金融管理局2.64%外匯基金票據2019年                                 | HKD  | 800,000,000   | 2009/06/10 | 2019/06/10 | 773.20         |
| 04166 #  | 香港金融管理局4.53%外匯基金票據2012年                                 | HKD  | 1,200,000,000 | 2009/06/23 | 2012/06/18 | 1,305.60       |
| 04191    | 香港金融管理局2.46%外匯基金票據2014年                                 | HKD  | 1,000,000,000 | 2009/06/24 | 2014/06/23 | 1,007.60       |
| 總額       |                                                         |      |               |            |            | 12,295.05      |



# 主板 單位信託及互惠基金

## 單位信託及互惠基金交易統計

|      |     | 交易所<br>買賣基金<br>(ETF)<br>(百萬港元) | 房地產投資<br>信託基金<br>(REITs)<br>(百萬港元) | 其他<br>(百萬港元) | 合計<br>(百萬港元) | 佔市場<br>百分比<br>(百萬港元) |
|------|-----|--------------------------------|------------------------------------|--------------|--------------|----------------------|
| 2008 | 第2季 | 147,996.81                     | 10,119.33                          | 775.06       | 158,891.20   | 3.44                 |
|      | 第3季 | 128,330.01                     | 12,253.56                          | 214.24       | 140,797.82   | 3.58                 |
|      | 第4季 | 120,092.63                     | 10,422.81                          | 225.71       | 130,741.15   | 4.16                 |
| 2009 | 第1季 | 102,668.21                     | 7,728.10                           | 177.20       | 110,573.51   | 4.13                 |
|      | 第2季 | 107,216.84                     | 14,023.80                          | 297.04       | 121,537.68   | 2.79                 |

註： 1. 只包括港元之成交金額。

## 單位信託及互惠基金市值

|      |     | 交易所<br>買賣基金<br>(ETF)<br>(發行數目 (百萬港元)) |            | 房地產投資<br>信託基金<br>(REIT)<br>(發行數目 (百萬港元)) |           | 其他<br>(發行數目 (百萬港元)) |          | 合計<br>(發行數目 (百萬港元)) |
|------|-----|---------------------------------------|------------|------------------------------------------|-----------|---------------------|----------|---------------------|
| 2008 | 第2季 | 23                                    | 109,069.79 | 7                                        | 63,006.95 | 2                   | 2,912.06 | 32 174,988.80       |
|      | 第3季 | 24                                    | 250,445.02 | 7                                        | 60,646.67 | 2                   | 1,803.76 | 33 312,895.46       |
|      | 第4季 | 24                                    | 266,475.46 | 7                                        | 46,405.95 | 2                   | 1,439.29 | 33 314,320.70       |
| 2009 | 第1季 | 24                                    | 343,441.56 | 7                                        | 50,891.61 | 2                   | 1,636.40 | 33 395,969.58       |
|      | 第2季 | 30                                    | 403,231.67 | 7                                        | 58,858.17 | 2                   | 2,436.01 | 39 464,525.86       |

## 新上市統計－單位信託及互惠基金

|      |     | 新上市單位信託<br>及互惠基金數目 | 集資金額(百萬港元) |
|------|-----|--------------------|------------|
| 2008 | 第2季 | 6                  | —          |
|      | 第3季 | 1                  | —          |
|      | 第4季 | —                  | —          |
| 2009 | 第1季 | —                  | —          |
|      | 第2季 | 6                  | —          |

# 主板 單位信託及互惠基金

## 新上市單位信託及互惠基金

2009年第2季

| 股份代號  | 單位信託及互惠基金                        | 基金經理                                      | 發行價<br>(港元) | 集資金額<br>(百萬港元) | 上市日期       |
|-------|----------------------------------|-------------------------------------------|-------------|----------------|------------|
| 03024 | 標智上證50中國指數基金                     | BOCI-Prudential Asset Management Ltd.     | n.a.        | n.a.           | 2009/04/15 |
| 03010 | iShares MSCI 亞洲 APEX 50 指數 ETF   | Barclays Global Investors North Asia Ltd. | n.a.        | n.a.           | 2009/04/23 |
| 03032 | iShares MSCI 亞洲 APEX 中型股指數 ETF   | Barclays Global Investors North Asia Ltd. | n.a.        | n.a.           | 2009/04/23 |
| 03004 | iShares MSCI 亞洲 APEX 小型股指數 ETF   | Barclays Global Investors North Asia Ltd. | n.a.        | n.a.           | 2009/04/23 |
| 02802 | iShares MSCI 亞洲新興市場指數 ETF        | Barclays Global Investors North Asia Ltd. | n.a.        | n.a.           | 2009/04/23 |
| 03036 | db x-trackers MSCI 台灣總回報淨值指數 ETF | State Street Global Advisor Ltd.          | n.a.        | n.a.           | 2009/06/30 |

# 主板 可收回牛熊證

## 牛熊證交易統計

|      |     | 數目    | 牛熊證市價總值<br>(百萬港元) | 交易總額<br>(百萬港元) |
|------|-----|-------|-------------------|----------------|
| 2008 | 第2季 | 453   | 86,945.83         | 176,028.32     |
|      | 第3季 | 759   | 130,618.61        | 396,439.23     |
|      | 第4季 | 1,314 | 195,229.08        | 383,369.78     |
| 2009 | 第1季 | 1,513 | 152,386.79        | 351,364.58     |
|      | 第2季 | 1,620 | 153,963.94        | 470,890.15     |

## 新上市牛熊證統計

|      |     | 新上市牛熊證數目 | 集資金額(百萬港元) |
|------|-----|----------|------------|
| 2008 | 第2季 | 630      | 77,040.15  |
|      | 第3季 | 1,343    | 135,720.58 |
|      | 第4季 | 1,935    | 185,485.67 |
| 2009 | 第1季 | 1,628    | 129,192.54 |
|      | 第2季 | 2,057    | 140,519.83 |

# 主板 可收回牛熊證

## 新上市牛熊證

2009年第2季

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 62942    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 N                   | 300,000,000  | 2009/04/01 | 2009/12/30 | 75.00          |
| 62943    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 O                   | 300,000,000  | 2009/04/01 | 2009/12/30 | 75.00          |
| 62944    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 P                   | 300,000,000  | 2009/04/01 | 2009/12/30 | 81.00          |
| 62945    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 Q                   | 300,000,000  | 2009/04/01 | 2009/12/30 | 81.00          |
| 62928    | HK Bank – A50 R Bull CBBC Aug 2009 D                            | 300,000,000  | 2009/04/01 | 2009/08/12 | 75.00          |
| 62929    | Macquarie Bank Ltd. – HSI R Bull CBBC Oct 2009 A                | 150,000,000  | 2009/04/01 | 2009/10/29 | 37.50          |
| 62933    | Macquarie Bank Ltd. – HSI R Bear CBBC Oct 2009 B                | 150,000,000  | 2009/04/01 | 2009/10/29 | 37.50          |
| 62932    | SGA Societe Generale Acceptance N.V. – BOCOM R Bear CBBC Dec09A | 200,000,000  | 2009/04/01 | 2009/12/21 | 50.00          |
| 62936    | SGA Societe Generale Acceptance N.V. – CLife R Bear CBBC Dec09A | 100,000,000  | 2009/04/01 | 2009/12/21 | 53.00          |
| 62937    | SGA Societe Generale Acceptance N.V. – CLife R Bear CBBC Dec09B | 100,000,000  | 2009/04/01 | 2009/12/21 | 63.00          |
| 62941    | SGA Societe Generale Acceptance N.V. – CP&CC R Bull CBBC Nov09B | 200,000,000  | 2009/04/01 | 2009/11/30 | 50.00          |
| 62939    | SGA Societe Generale Acceptance N.V. – A50 R Bull CBBC Oct09C   | 200,000,000  | 2009/04/01 | 2009/10/23 | 50.00          |
| 62938    | SGA Societe Generale Acceptance N.V. – HSBC R Bull CBBC Oct09K  | 200,000,000  | 2009/04/01 | 2009/10/23 | 50.00          |
| 62930    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09F   | 300,000,000  | 2009/04/01 | 2009/10/29 | 75.00          |
| 62931    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09G   | 300,000,000  | 2009/04/01 | 2009/10/29 | 75.00          |
| 62934    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09H   | 300,000,000  | 2009/04/01 | 2009/10/29 | 75.00          |
| 62935    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09I   | 300,000,000  | 2009/04/01 | 2009/10/29 | 75.00          |
| 62940    | SGA Societe Generale Acceptance N.V. – SHK P R Bull CBBC Sep09A | 100,000,000  | 2009/04/01 | 2009/09/30 | 25.00          |
| 61633    | Macquarie Bank Ltd. – HSI R Bear CBBC Jul 2009 B                | 200,000,000  | 2009/04/01 | 2009/07/30 | 32.00          |
| 62989    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 D                 | 250,000,000  | 2009/04/02 | 2009/10/29 | 62.50          |
| 62987    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2009 L        | 300,000,000  | 2009/04/02 | 2009/10/29 | 75.00          |
| 62988    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2009 M        | 300,000,000  | 2009/04/02 | 2009/10/29 | 75.00          |
| 62946    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2009 X        | 300,000,000  | 2009/04/02 | 2009/11/27 | 75.00          |
| 62980    | Deutsche Bank AG – CC Bank R Bull CBBC Aug 2009 F               | 150,000,000  | 2009/04/02 | 2009/08/10 | 37.50          |
| 62981    | Deutsche Bank AG – Sinopec Corp R Bull CBBC Aug 2009 G          | 150,000,000  | 2009/04/02 | 2009/08/10 | 38.25          |
| 62984    | Deutsche Bank AG – HKEx R Bull CBBC Aug 2009 F                  | 150,000,000  | 2009/04/02 | 2009/08/03 | 37.50          |
| 62982    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 R                   | 300,000,000  | 2009/04/02 | 2009/12/30 | 75.00          |
| 62983    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 S                   | 300,000,000  | 2009/04/02 | 2009/12/30 | 75.00          |
| 62985    | Deutsche Bank AG – ICBC R Bull CBBC Aug 2009 G                  | 150,000,000  | 2009/04/02 | 2009/08/10 | 37.50          |
| 62986    | Deutsche Bank AG – Petrochina R Bull CBBC Aug 2009 E            | 150,000,000  | 2009/04/02 | 2009/08/10 | 37.50          |
| 62970    | KBC Fin Products Int'l Ltd. – CC Bank R Bull CBBC Sep 2009 A    | 248,000,000  | 2009/04/02 | 2009/09/09 | 62.00          |
| 62971    | KBC Fin Products Int'l Ltd. – China Life R Bull CBBC Jul 09G    | 168,000,000  | 2009/04/02 | 2009/07/20 | 57.12          |
| 62976    | KBC Fin Products Int'l Ltd. – Ch Life R Bear CBBC Jul 2009 H    | 168,000,000  | 2009/04/02 | 2009/07/15 | 77.28          |
| 62978    | KBC Fin Products Int'l Ltd. – A50 China R Bull CBBC Sep 09 C    | 208,000,000  | 2009/04/02 | 2009/09/18 | 52.00          |
| 62972    | KBC Fin Products Int'l Ltd. – HKEx R Bull CBBC Sep 2009 D       | 328,000,000  | 2009/04/02 | 2009/09/15 | 82.00          |
| 62979    | KBC Fin Products Int'l Ltd. – HSCEI R Bull CBBC Aug 2009 D      | 268,000,000  | 2009/04/02 | 2009/08/28 | 67.00          |
| 62947    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Aug 2009 U        | 168,000,000  | 2009/04/02 | 2009/08/28 | 42.00          |
| 62948    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 Q        | 208,000,000  | 2009/04/02 | 2009/10/29 | 74.88          |
| 62949    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 O        | 208,000,000  | 2009/04/02 | 2009/11/27 | 89.44          |
| 62973    | KBC Fin Products Int'l Ltd. – ICBC R Bull CBBC Sep 2009 B       | 248,000,000  | 2009/04/02 | 2009/09/14 | 62.00          |
| 62974    | KBC Fin Products Int'l Ltd. – ICBC R Bull CBBC Oct 2009 A       | 248,000,000  | 2009/04/02 | 2009/10/15 | 62.00          |
| 62977    | KBC Fin Products Int'l Ltd. – ICBC R Bear CBBC Sep 2009 C       | 248,000,000  | 2009/04/02 | 2009/09/15 | 74.40          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                            | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|----------------------------------------------------------------|--------------|------------|------------|----------------|
| 62975    | KBC Fin Products Int'l Ltd. – SHK Ppt R Bull CBBC Oct 2009 B   | 188,000,000  | 2009/04/02 | 2009/10/08 | 47.00          |
| 62958    | UBS AG – CC Bank R Bull CBBC Dec 2009 C                        | 200,000,000  | 2009/04/02 | 2009/12/14 | 50.00          |
| 62959    | UBS AG – China Life R Bull CBBC Oct 2009 S                     | 300,000,000  | 2009/04/02 | 2009/10/19 | 75.00          |
| 62960    | UBS AG – CM Bank R Bull CBBC Nov 2009 C                        | 200,000,000  | 2009/04/02 | 2009/11/23 | 73.00          |
| 62961    | UBS AG – CM Bank R Bull CBBC Nov 2009 D                        | 200,000,000  | 2009/04/02 | 2009/11/23 | 53.00          |
| 62962    | UBS AG – Sinopec Corp R Bull CBBC Oct 2009 C                   | 200,000,000  | 2009/04/02 | 2009/10/19 | 50.00          |
| 62963    | UBS AG – HKEx R Bull CBBC Oct 2009 I                           | 300,000,000  | 2009/04/02 | 2009/10/19 | 75.00          |
| 62964    | UBS AG – HSBC R Bear CBBC Oct 2009 T                           | 300,000,000  | 2009/04/02 | 2009/10/19 | 75.00          |
| 62965    | UBS AG – HSBC R Bear CBBC Oct 2009 U                           | 300,000,000  | 2009/04/02 | 2009/10/19 | 75.00          |
| 62950    | UBS AG – HSCEI R Bull CBBC Oct 2009 I                          | 300,000,000  | 2009/04/02 | 2009/10/29 | 75.00          |
| 62954    | UBS AG – HSCEI R Bear CBBC Oct 2009 J                          | 300,000,000  | 2009/04/02 | 2009/10/29 | 75.00          |
| 62951    | UBS AG – HSI R Bull CBBC Aug 2009 E                            | 500,000,000  | 2009/04/02 | 2009/08/28 | 125.00         |
| 62952    | UBS AG – HSI R Bull CBBC Oct 2009 J                            | 500,000,000  | 2009/04/02 | 2009/10/29 | 125.00         |
| 62953    | UBS AG – HSI R Bull CBBC Oct 2009 O                            | 500,000,000  | 2009/04/02 | 2009/10/29 | 125.00         |
| 62956    | UBS AG – HSI R Bull CBBC Nov 2009 X                            | 500,000,000  | 2009/04/02 | 2009/11/27 | 125.00         |
| 62957    | UBS AG – HSI R Bull CBBC Dec 2009 A                            | 500,000,000  | 2009/04/02 | 2009/12/30 | 125.00         |
| 62955    | UBS AG – HSI R Bear CBBC Aug 2009 G                            | 500,000,000  | 2009/04/02 | 2009/08/28 | 125.00         |
| 62966    | UBS AG – ICBC R Bull CBBC Nov 2009 B                           | 200,000,000  | 2009/04/02 | 2009/11/23 | 50.00          |
| 62967    | UBS AG – ICBC R Bull CBBC Nov 2009 C                           | 200,000,000  | 2009/04/02 | 2009/11/23 | 50.00          |
| 62968    | UBS AG – Petrochina R Bull CBBC Oct 2009 H                     | 300,000,000  | 2009/04/02 | 2009/10/19 | 75.00          |
| 62969    | UBS AG – Ping An R Bull CBBC Oct 2009 H                        | 200,000,000  | 2009/04/02 | 2009/10/19 | 50.00          |
| 63011    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 T                  | 300,000,000  | 2009/04/03 | 2009/12/30 | 84.00          |
| 63000    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Oct 2009 C           | 200,000,000  | 2009/04/03 | 2009/10/29 | 50.00          |
| 63004    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Oct 2009 D           | 200,000,000  | 2009/04/03 | 2009/10/29 | 50.00          |
| 62992    | KBC Fin Products Int'l Ltd. – HSCEI R Bear CBBC Dec 2009 C     | 158,000,000  | 2009/04/03 | 2009/12/30 | 44.24          |
| 62993    | KBC Fin Products Int'l Ltd. – HSCEI R Bear CBBC Dec 2009 D     | 188,000,000  | 2009/04/03 | 2009/12/30 | 58.28          |
| 62994    | KBC Fin Products Int'l Ltd. – HSCEI R Bear CBBC Dec 2009 E     | 188,000,000  | 2009/04/03 | 2009/12/30 | 63.92          |
| 63010    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Jul 2009 V       | 208,000,000  | 2009/04/03 | 2009/07/30 | 52.00          |
| 62990    | Macquarie Bank Ltd. – HSI R Bear CBBC Sep 2009 I               | 200,000,000  | 2009/04/03 | 2009/09/29 | 50.00          |
| 62999    | SGA Societe Generale Acceptance N.V. – A50 R Bear CBBC Oct09D  | 200,000,000  | 2009/04/03 | 2009/10/23 | 62.00          |
| 62998    | SGA Societe Generale Acceptance N.V. – HKEx R Bull CBBC Sep09O | 200,000,000  | 2009/04/03 | 2009/09/29 | 50.00          |
| 62991    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09J  | 300,000,000  | 2009/04/03 | 2009/10/29 | 75.00          |
| 62995    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09K  | 300,000,000  | 2009/04/03 | 2009/10/29 | 75.00          |
| 63001    | UBS AG – China Mobile R Bull CBBC Nov 2009 C                   | 300,000,000  | 2009/04/03 | 2009/11/16 | 75.00          |
| 63005    | UBS AG – HSCEI R Bull CBBC Oct 2009 K                          | 300,000,000  | 2009/04/03 | 2009/10/29 | 75.00          |
| 63006    | UBS AG – HSI R Bear CBBC Jul 2009 M                            | 500,000,000  | 2009/04/03 | 2009/07/30 | 125.00         |
| 63007    | UBS AG – HSI R Bear CBBC Jul 2009 N                            | 500,000,000  | 2009/04/03 | 2009/07/30 | 125.00         |
| 63008    | UBS AG – HSI R Bear CBBC Jul 2009 T                            | 500,000,000  | 2009/04/03 | 2009/07/30 | 125.00         |
| 63009    | UBS AG – HSI R Bear CBBC Jul 2009 U                            | 500,000,000  | 2009/04/03 | 2009/07/30 | 125.00         |
| 62997    | UBS AG – HSI R Bear CBBC Oct 2009 P                            | 500,000,000  | 2009/04/03 | 2009/10/29 | 125.00         |
| 63002    | UBS AG – Ping An R Bear CBBC Oct 2009 I                        | 200,000,000  | 2009/04/03 | 2009/10/19 | 50.00          |
| 62996    | UBS AG – SHK Ppt R Bear CBBC Oct 2009 G                        | 200,000,000  | 2009/04/03 | 2009/10/19 | 51.00          |
| 63003    | UBS AG – SHK Ppt R Bear CBBC Oct 2009 H                        | 200,000,000  | 2009/04/03 | 2009/10/19 | 50.00          |
| 63040    | ABN AMRO Bank N.V. – HSCEI R Bull CBBC Sep 2009 B              | 250,000,000  | 2009/04/06 | 2009/09/29 | 62.50          |
| 63041    | ABN AMRO Bank N.V. – HSCEI R Bull CBBC Sep 2009 C              | 250,000,000  | 2009/04/06 | 2009/09/29 | 62.75          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63039    | ABN AMRO Bank N.V. – HSI R Bear CBBC Oct 2009 E                 | 250,000,000  | 2009/04/06 | 2009/10/29 | 62.75          |
| 63033    | Deutsche Bank AG – CC Bank R Bear CBBC Aug 2009 G               | 150,000,000  | 2009/04/06 | 2009/08/10 | 37.50          |
| 63034    | Deutsche Bank AG – China Life R Bear CBBC Sep 2009 A            | 150,000,000  | 2009/04/06 | 2009/09/07 | 37.50          |
| 63035    | Deutsche Bank AG – CNOOC R Bear CBBC Aug 2009 F                 | 150,000,000  | 2009/04/06 | 2009/08/10 | 37.50          |
| 63038    | Deutsche Bank AG – A50 China R Bear CBBC Aug 2009 I             | 150,000,000  | 2009/04/06 | 2009/08/17 | 37.50          |
| 63036    | Deutsche Bank AG – HKEx R Bear CBBC Aug 2009 G                  | 150,000,000  | 2009/04/06 | 2009/08/03 | 37.50          |
| 63029    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 U                   | 300,000,000  | 2009/04/06 | 2009/12/30 | 75.00          |
| 63030    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 V                   | 300,000,000  | 2009/04/06 | 2009/12/30 | 75.00          |
| 63031    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 W                   | 300,000,000  | 2009/04/06 | 2009/12/30 | 90.00          |
| 63032    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 X                   | 300,000,000  | 2009/04/06 | 2009/12/30 | 90.00          |
| 63037    | Deutsche Bank AG – Petrochina R Bear CBBC Aug 2009 F            | 150,000,000  | 2009/04/06 | 2009/08/10 | 37.50          |
| 63028    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Aug 2009 L        | 208,000,000  | 2009/04/06 | 2009/08/28 | 52.00          |
| 63013    | SGA Societe Generale Acceptance N.V. – BOCOM R Bull CBBC Nov09B | 200,000,000  | 2009/04/06 | 2009/11/30 | 50.00          |
| 63014    | SGA Societe Generale Acceptance N.V. – CK(H) R Bull CBBC Oct09E | 150,000,000  | 2009/04/06 | 2009/10/27 | 37.50          |
| 63018    | SGA Societe Generale Acceptance N.V. – CLife R Bear CBBC Dec09C | 100,000,000  | 2009/04/06 | 2009/12/21 | 26.00          |
| 63012    | SGA Societe Generale Acceptance N.V. – CMB R Bull CBBC Oct09B   | 100,000,000  | 2009/04/06 | 2009/10/27 | 45.00          |
| 63016    | SGA Societe Generale Acceptance N.V. – CMB R Bear CBBC Oct09C   | 100,000,000  | 2009/04/06 | 2009/10/27 | 38.00          |
| 63017    | SGA Societe Generale Acceptance N.V. – A50 R Bull CBBC Nov09A   | 200,000,000  | 2009/04/06 | 2009/11/30 | 50.00          |
| 63015    | SGA Societe Generale Acceptance N.V. – PetCh R Bull CBBC Oct09J | 200,000,000  | 2009/04/06 | 2009/10/05 | 50.00          |
| 63025    | UBS AG – China Mobile R Bear CBBC Nov 2009 D                    | 300,000,000  | 2009/04/06 | 2009/11/16 | 75.00          |
| 63019    | UBS AG – China Life R Bear CBBC Nov 2009 G                      | 300,000,000  | 2009/04/06 | 2009/11/16 | 75.00          |
| 63020    | UBS AG – HKEx R Bear CBBC Oct 2009 J                            | 300,000,000  | 2009/04/06 | 2009/10/19 | 75.00          |
| 63026    | UBS AG – HKEx R Bear CBBC Oct 2009 K                            | 300,000,000  | 2009/04/06 | 2009/10/27 | 75.00          |
| 63023    | UBS AG – HSI R Bear CBBC Aug 2009 F                             | 500,000,000  | 2009/04/06 | 2009/08/28 | 125.00         |
| 63024    | UBS AG – HSI R Bear CBBC Sep 2009 R                             | 500,000,000  | 2009/04/06 | 2009/09/29 | 125.00         |
| 63027    | UBS AG – HSI R Bear CBBC Oct 2009 S                             | 500,000,000  | 2009/04/06 | 2009/10/29 | 125.00         |
| 63021    | UBS AG – Hutchison R Bull CBBC Dec 2009 A                       | 200,000,000  | 2009/04/06 | 2009/12/14 | 50.00          |
| 63022    | UBS AG – Hutchison R Bear CBBC Nov 2009 B                       | 200,000,000  | 2009/04/06 | 2009/11/16 | 50.00          |
| 63051    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Oct 2009 N        | 300,000,000  | 2009/04/07 | 2009/10/29 | 75.00          |
| 63052    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Oct 2009 O        | 300,000,000  | 2009/04/07 | 2009/10/29 | 75.00          |
| 63044    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 Y                   | 300,000,000  | 2009/04/07 | 2009/12/30 | 75.00          |
| 63043    | SGA Societe Generale Acceptance NV – HSCEI R Bull CBBC Oct09I   | 200,000,000  | 2009/04/07 | 2009/10/29 | 50.00          |
| 63042    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09L   | 300,000,000  | 2009/04/07 | 2009/10/29 | 75.00          |
| 63045    | UBS AG – China Life R Bull CBBC Nov 2009 H                      | 300,000,000  | 2009/04/07 | 2009/11/16 | 75.00          |
| 63047    | UBS AG – A50 China R Bull CBBC Nov 2009 L                       | 300,000,000  | 2009/04/07 | 2009/11/23 | 75.00          |
| 63046    | UBS AG – HSBC R Bull CBBC Dec 2009 B                            | 300,000,000  | 2009/04/07 | 2009/12/14 | 75.00          |
| 63048    | UBS AG – HSCEI R Bear CBBC Oct 2009 L                           | 300,000,000  | 2009/04/07 | 2009/10/29 | 75.00          |
| 63049    | UBS AG – HSCEI R Bear CBBC Oct 2009 M                           | 300,000,000  | 2009/04/07 | 2009/10/29 | 75.00          |
| 63053    | UBS AG – HSI R Bull CBBC Oct 2009 R                             | 500,000,000  | 2009/04/07 | 2009/10/29 | 125.00         |
| 63050    | UBS AG – HSI R Bear CBBC Oct 2009 H                             | 500,000,000  | 2009/04/07 | 2009/10/29 | 125.00         |
| 63059    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 Z                   | 300,000,000  | 2009/04/08 | 2009/12/30 | 75.00          |
| 63055    | SGA Societe Generale Acceptance NV – HSCEI R Bear CBBC Oct09J   | 200,000,000  | 2009/04/08 | 2009/10/29 | 50.00          |
| 63056    | UBS AG – Sinopec Corp R Bull CBBC Nov 2009 A                    | 200,000,000  | 2009/04/08 | 2009/11/23 | 50.00          |
| 63058    | UBS AG – A50 China R Bear CBBC Nov 2009 M                       | 300,000,000  | 2009/04/08 | 2009/11/23 | 75.00          |
| 63054    | UBS AG – HSI R Bear CBBC Oct 2009 F                             | 500,000,000  | 2009/04/08 | 2009/10/29 | 125.00         |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63057    | UBS AG – Hutchison R Bull CBBC Dec 2009 B                       | 200,000,000  | 2009/04/08 | 2009/12/14 | 50.00          |
| 63114    | ABN AMRO Bank N.V. – HSI R Bear CBBC Oct 2009 F                 | 250,000,000  | 2009/04/09 | 2009/10/29 | 62.50          |
| 63115    | ABN AMRO Bank N.V. – HSI R Bear CBBC Oct 2009 G                 | 250,000,000  | 2009/04/09 | 2009/10/29 | 62.50          |
| 63126    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2009 P        | 300,000,000  | 2009/04/09 | 2009/10/29 | 75.00          |
| 63127    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2009 Q        | 300,000,000  | 2009/04/09 | 2009/10/29 | 75.00          |
| 63125    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 X        | 300,000,000  | 2009/04/09 | 2009/12/30 | 75.00          |
| 63129    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 Y        | 300,000,000  | 2009/04/09 | 2009/12/30 | 75.00          |
| 63074    | Deutsche Bank AG – China Life R Bull CBBC Sep 2009 B            | 150,000,000  | 2009/04/09 | 2009/09/07 | 45.00          |
| 63120    | Deutsche Bank AG – China Life R Bear CBBC Sep 2009 C            | 150,000,000  | 2009/04/09 | 2009/09/07 | 120.00         |
| 63075    | Deutsche Bank AG – Sinopec Corp R Bull CBBC Aug 2009 H          | 150,000,000  | 2009/04/09 | 2009/08/10 | 37.50          |
| 63121    | Deutsche Bank AG – Sinopec Corp R Bear CBBC Aug 2009 I          | 150,000,000  | 2009/04/09 | 2009/08/10 | 60.00          |
| 63076    | Deutsche Bank AG – A50 China R Bull CBBC Aug 2009 J             | 150,000,000  | 2009/04/09 | 2009/08/31 | 37.50          |
| 63118    | Deutsche Bank AG – HSBC R Bull CBBC Sep 2009 H                  | 150,000,000  | 2009/04/09 | 2009/09/21 | 37.50          |
| 63070    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 K                   | 300,000,000  | 2009/04/09 | 2009/12/30 | 90.00          |
| 63071    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 L                   | 300,000,000  | 2009/04/09 | 2009/12/30 | 93.00          |
| 63072    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 M                   | 300,000,000  | 2009/04/09 | 2009/12/30 | 78.00          |
| 63073    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 N                   | 300,000,000  | 2009/04/09 | 2009/12/30 | 75.00          |
| 63116    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 B                   | 300,000,000  | 2009/04/09 | 2010/01/28 | 78.00          |
| 63117    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 C                   | 300,000,000  | 2009/04/09 | 2010/01/28 | 75.00          |
| 63077    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 O                   | 300,000,000  | 2009/04/09 | 2009/12/30 | 114.00         |
| 63078    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 A                   | 300,000,000  | 2009/04/09 | 2010/01/28 | 135.00         |
| 63122    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 D                   | 300,000,000  | 2009/04/09 | 2010/01/28 | 114.00         |
| 63123    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 E                   | 300,000,000  | 2009/04/09 | 2010/01/28 | 132.00         |
| 63124    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 F                   | 300,000,000  | 2009/04/09 | 2010/01/28 | 144.00         |
| 63119    | Deutsche Bank AG – Petrochina R Bull CBBC Aug 2009 G            | 150,000,000  | 2009/04/09 | 2009/08/10 | 37.50          |
| 63099    | KBC Fin Products Int'l Ltd. – CP&CC R Bull CBBC Sep 2009 B      | 208,000,000  | 2009/04/09 | 2009/09/01 | 52.00          |
| 63103    | KBC Fin Products Int'l Ltd. – CP&CC R Bear CBBC Oct 2009 B      | 208,000,000  | 2009/04/09 | 2009/10/02 | 64.48          |
| 63100    | KBC Fin Products Int'l Ltd. – HKEx R Bull CBBC Oct 2009 C       | 288,000,000  | 2009/04/09 | 2009/10/02 | 72.00          |
| 63104    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Oct 2009 D       | 288,000,000  | 2009/04/09 | 2009/10/08 | 77.76          |
| 63101    | KBC Fin Products Int'l Ltd. – HSBC R Bull CBBC Dec 2009 A       | 138,000,000  | 2009/04/09 | 2009/12/10 | 34.50          |
| 63081    | KBC Fin Products Int'l Ltd. – HSBC R Bear CBBC Sep 2009 I       | 138,000,000  | 2009/04/09 | 2009/09/15 | 34.50          |
| 63095    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Aug 2009 U        | 208,000,000  | 2009/04/09 | 2009/08/28 | 52.00          |
| 63096    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Aug 2009 X        | 208,000,000  | 2009/04/09 | 2009/08/28 | 52.00          |
| 63063    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Aug 2009 Z        | 208,000,000  | 2009/04/09 | 2009/08/28 | 52.00          |
| 63062    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Sep 2009 N        | 248,000,000  | 2009/04/09 | 2009/09/29 | 62.00          |
| 63097    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Sep 2009 O        | 248,000,000  | 2009/04/09 | 2009/09/29 | 62.00          |
| 63098    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 E        | 308,000,000  | 2009/04/09 | 2009/10/29 | 77.00          |
| 63080    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Aug 2009 M        | 208,000,000  | 2009/04/09 | 2009/08/28 | 52.00          |
| 63069    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Aug 2009 T        | 248,000,000  | 2009/04/09 | 2009/08/28 | 62.00          |
| 63079    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 V        | 208,000,000  | 2009/04/09 | 2009/09/29 | 52.00          |
| 63102    | KBC Fin Products Int'l Ltd. – SHK Ppt R Bear CBBC Aug 2009 B    | 188,000,000  | 2009/04/09 | 2009/08/18 | 48.88          |
| 63066    | SGA Societe Generale Acceptance N.V. – CTel R Bear CBBC Dec09A  | 200,000,000  | 2009/04/09 | 2009/12/21 | 50.00          |
| 63065    | SGA Societe Generale Acceptance N.V. – CP&CC R Bull CBBC Dec09A | 200,000,000  | 2009/04/09 | 2009/12/21 | 50.00          |
| 63060    | SGA Societe Generale Acceptance N.V. – HKEx R Bear CBBC Sep09P  | 200,000,000  | 2009/04/09 | 2009/09/29 | 50.00          |
| 63064    | SGA Societe Generale Acceptance NV – HSCEI R Bull CBBC Oct09K   | 200,000,000  | 2009/04/09 | 2009/10/29 | 50.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                           | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|---------------------------------------------------------------|--------------|------------|------------|----------------|
| 63068    | SGA Societe Generale Acceptance NV – HSCEI R Bear CBBC Oct09L | 200,000,000  | 2009/04/09 | 2009/10/29 | 50.00          |
| 63067    | SGA Societe Generale Acceptance N.V. – TCH R Bear CBBC Dec09C | 150,000,000  | 2009/04/09 | 2009/12/21 | 45.00          |
| 63105    | UBS AG – China Life R Bull CBBC Nov 2009 J                    | 300,000,000  | 2009/04/09 | 2009/11/16 | 75.00          |
| 63082    | UBS AG – China Life R Bear CBBC Nov 2009 I                    | 300,000,000  | 2009/04/09 | 2009/11/16 | 189.00         |
| 63083    | UBS AG – Sinopec Corp R Bull CBBC Nov 2009 B                  | 200,000,000  | 2009/04/09 | 2009/11/23 | 50.00          |
| 63087    | UBS AG – Sinopec Corp R Bear CBBC Nov 2009 C                  | 200,000,000  | 2009/04/09 | 2009/11/23 | 50.00          |
| 63086    | UBS AG – A50 China R Bull CBBC Nov 2009 N                     | 300,000,000  | 2009/04/09 | 2009/11/23 | 75.00          |
| 63106    | UBS AG – HKEx R Bull CBBC Nov 2009 A                          | 300,000,000  | 2009/04/09 | 2009/11/23 | 75.00          |
| 63084    | UBS AG – HSBC R Bull CBBC Dec 2009 C                          | 300,000,000  | 2009/04/09 | 2009/12/14 | 75.00          |
| 63107    | UBS AG – HSBC R Bull CBBC Dec 2009 D                          | 300,000,000  | 2009/04/09 | 2009/12/14 | 75.00          |
| 63108    | UBS AG – HSBC R Bull CBBC Dec 2009 E                          | 300,000,000  | 2009/04/09 | 2009/12/14 | 75.00          |
| 63109    | UBS AG – HSCEI R Bull CBBC Oct 2009 N                         | 300,000,000  | 2009/04/09 | 2009/10/29 | 75.00          |
| 63088    | UBS AG – HSI R Bull CBBC Nov 2009 G                           | 500,000,000  | 2009/04/09 | 2009/11/27 | 125.00         |
| 63089    | UBS AG – HSI R Bull CBBC Nov 2009 W                           | 500,000,000  | 2009/04/09 | 2009/11/27 | 125.00         |
| 63090    | UBS AG – HSI R Bull CBBC Dec 2009 B                           | 500,000,000  | 2009/04/09 | 2009/12/30 | 125.00         |
| 63110    | UBS AG – HSI R Bull CBBC Dec 2009 C                           | 500,000,000  | 2009/04/09 | 2009/12/30 | 125.00         |
| 63111    | UBS AG – HSI R Bull CBBC Dec 2009 D                           | 500,000,000  | 2009/04/09 | 2009/12/30 | 125.00         |
| 63112    | UBS AG – HSI R Bull CBBC Dec 2009 E                           | 500,000,000  | 2009/04/09 | 2009/12/30 | 125.00         |
| 63113    | UBS AG – HSI R Bull CBBC Dec 2009 F                           | 500,000,000  | 2009/04/09 | 2009/12/30 | 125.00         |
| 63091    | UBS AG – HSI R Bear CBBC Sep 2009 X                           | 500,000,000  | 2009/04/09 | 2009/09/29 | 125.00         |
| 63092    | UBS AG – HSI R Bear CBBC Oct 2009 C                           | 500,000,000  | 2009/04/09 | 2009/10/29 | 125.00         |
| 63061    | UBS AG – HSI R Bear CBBC Oct 2009 O                           | 500,000,000  | 2009/04/09 | 2009/10/29 | 125.00         |
| 63093    | UBS AG – HSI R Bear CBBC Oct 2009 Q                           | 500,000,000  | 2009/04/09 | 2009/10/29 | 125.00         |
| 63094    | UBS AG – HSI R Bear CBBC Nov 2009 H                           | 500,000,000  | 2009/04/09 | 2009/11/27 | 125.00         |
| 63085    | UBS AG – SHK Ppt R Bull CBBC Jan 2010 A                       | 200,000,000  | 2009/04/09 | 2010/01/18 | 50.00          |
| 63169    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 H               | 250,000,000  | 2009/04/14 | 2009/10/29 | 62.50          |
| 63171    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 I               | 250,000,000  | 2009/04/14 | 2009/10/29 | 62.50          |
| 63172    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 J               | 250,000,000  | 2009/04/14 | 2009/10/29 | 62.50          |
| 63173    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 K               | 250,000,000  | 2009/04/14 | 2009/10/29 | 62.50          |
| 63174    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 L               | 250,000,000  | 2009/04/14 | 2009/10/29 | 62.50          |
| 63170    | ABN AMRO Bank N.V. – HSI R Bear CBBC Aug 2009 W               | 250,000,000  | 2009/04/14 | 2009/08/28 | 62.50          |
| 63175    | ABN AMRO Bank N.V. – HSI R Bear CBBC Aug 2009 X               | 250,000,000  | 2009/04/14 | 2009/08/28 | 62.50          |
| 63176    | ABN AMRO Bank N.V. – HSI R Bear CBBC Aug 2009 Y               | 250,000,000  | 2009/04/14 | 2009/08/28 | 62.50          |
| 63177    | ABN AMRO Bank N.V. – HSI R Bear CBBC Aug 2009 Z               | 250,000,000  | 2009/04/14 | 2009/08/28 | 62.50          |
| 63161    | Deutsche Bank AG – HKEx R Bull CBBC Oct 2009 A                | 150,000,000  | 2009/04/14 | 2009/10/12 | 37.50          |
| 63164    | Deutsche Bank AG – HKEx R Bull CBBC Oct 2009 B                | 150,000,000  | 2009/04/14 | 2009/10/12 | 37.50          |
| 63165    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 G                 | 300,000,000  | 2009/04/14 | 2010/01/28 | 78.00          |
| 63166    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 H                 | 300,000,000  | 2009/04/14 | 2010/01/28 | 75.00          |
| 63167    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 P                 | 300,000,000  | 2009/04/14 | 2009/12/30 | 99.00          |
| 63168    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 Q                 | 300,000,000  | 2009/04/14 | 2009/12/30 | 105.00         |
| 63158    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Oct 2009 E          | 200,000,000  | 2009/04/14 | 2009/10/29 | 50.00          |
| 63162    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Oct 2009 F          | 200,000,000  | 2009/04/14 | 2009/10/29 | 50.00          |
| 63143    | HK Bank – A50 R Bull CBBC Nov 2009 A                          | 150,000,000  | 2009/04/14 | 2009/11/12 | 37.50          |
| 63144    | HK Bank – A50 R Bull CBBC Nov 2009 B                          | 150,000,000  | 2009/04/14 | 2009/11/12 | 37.50          |
| 63148    | HK Bank – A50 R Bear CBBC Nov 2009 C                          | 150,000,000  | 2009/04/14 | 2009/11/12 | 37.50          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63149    | HK Bank – A50 R Bear CBBC Nov 2009 D                            | 150,000,000  | 2009/04/14 | 2009/11/12 | 37.50          |
| 63145    | HK Bank – HSI R Bull CBBC Nov 2009 A                            | 280,000,000  | 2009/04/14 | 2009/11/27 | 70.00          |
| 63146    | HK Bank – HSI R Bull CBBC Nov 2009 B                            | 280,000,000  | 2009/04/14 | 2009/11/27 | 70.00          |
| 63147    | HK Bank – HSI R Bull CBBC Nov 2009 C                            | 280,000,000  | 2009/04/14 | 2009/11/27 | 70.00          |
| 63150    | HK Bank – HSI R Bear CBBC Sep 2009 A                            | 380,000,000  | 2009/04/14 | 2009/09/29 | 95.00          |
| 63151    | HK Bank – HSI R Bear CBBC Sep 2009 B                            | 380,000,000  | 2009/04/14 | 2009/09/29 | 95.00          |
| 63142    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 I        | 248,000,000  | 2009/04/14 | 2009/10/29 | 62.00          |
| 63159    | Macquarie Bank Ltd. – HSI R Bull CBBC Dec 2009 D                | 200,000,000  | 2009/04/14 | 2009/12/30 | 50.80          |
| 63163    | Macquarie Bank Ltd. – HSI R Bear CBBC Dec 2009 E                | 200,000,000  | 2009/04/14 | 2009/12/30 | 51.00          |
| 63132    | SGA Societe Generale Acceptance N.V. – COVS R Bull CBBC Oct09E  | 100,000,000  | 2009/04/14 | 2009/10/19 | 40.00          |
| 63138    | SGA Societe Generale Acceptance N.V. – COVS R Bear CBBC Oct09F  | 100,000,000  | 2009/04/14 | 2009/10/19 | 48.00          |
| 63133    | SGA Societe Generale Acceptance N.V. – CNOOC R Bull CBBC Sep09B | 200,000,000  | 2009/04/14 | 2009/09/28 | 50.00          |
| 63134    | SGA Societe Generale Acceptance N.V. – CNOOC R Bull CBBC Oct09A | 200,000,000  | 2009/04/14 | 2009/10/22 | 50.00          |
| 63140    | SGA Societe Generale Acceptance N.V. – A50 R Bull CBBC Oct09E   | 200,000,000  | 2009/04/14 | 2009/10/22 | 50.00          |
| 63160    | SGA Societe Generale Acceptance N.V. – HKEx R Bull CBBC Sep09Q  | 200,000,000  | 2009/04/14 | 2009/09/28 | 50.00          |
| 63139    | SGA Societe Generale Acceptance N.V. – HSBC R Bull CBBC Oct09L  | 200,000,000  | 2009/04/14 | 2009/10/22 | 50.00          |
| 63141    | SGA Societe Generale Acceptance NV – HSCEI R Bear CBBC Oct09M   | 200,000,000  | 2009/04/14 | 2009/10/29 | 50.00          |
| 63128    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09M   | 300,000,000  | 2009/04/14 | 2009/10/29 | 75.00          |
| 63130    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09N   | 300,000,000  | 2009/04/14 | 2009/10/29 | 75.00          |
| 63131    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09O   | 300,000,000  | 2009/04/14 | 2009/10/29 | 75.00          |
| 63135    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09P   | 300,000,000  | 2009/04/14 | 2009/10/29 | 75.00          |
| 63136    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09Q   | 300,000,000  | 2009/04/14 | 2009/10/29 | 75.00          |
| 63137    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09R   | 300,000,000  | 2009/04/14 | 2009/10/29 | 75.00          |
| 63155    | UBS AG – CNOOC R Bull CBBC Nov 2009 A                           | 200,000,000  | 2009/04/14 | 2009/11/23 | 50.00          |
| 63156    | UBS AG – HS Bank R Bull CBBC Dec 2009 F                         | 200,000,000  | 2009/04/14 | 2009/12/14 | 50.00          |
| 63152    | UBS AG – HSI R Bull CBBC Dec 2009 G                             | 500,000,000  | 2009/04/14 | 2009/12/30 | 125.00         |
| 63153    | UBS AG – HSI R Bull CBBC Dec 2009 H                             | 500,000,000  | 2009/04/14 | 2009/12/30 | 125.00         |
| 63154    | UBS AG – HSI R Bull CBBC Dec 2009 I                             | 500,000,000  | 2009/04/14 | 2009/12/30 | 125.00         |
| 63157    | UBS AG – Petrochina R Bull CBBC Nov 2009 A                      | 300,000,000  | 2009/04/14 | 2009/11/23 | 75.00          |
| 63255    | ABN AMRO Bank N.V. – HSBC R Bull CBBC Nov 2009 A                | 80,000,000   | 2009/04/15 | 2009/11/30 | 20.00          |
| 63256    | ABN AMRO Bank N.V. – HSBC R Bull CBBC Nov 2009 B                | 80,000,000   | 2009/04/15 | 2009/11/30 | 20.00          |
| 63260    | ABN AMRO Bank N.V. – HSBC R Bear CBBC Nov 2009 C                | 80,000,000   | 2009/04/15 | 2009/11/30 | 20.00          |
| 63257    | ABN AMRO Bank N.V. – HSCEI R Bull CBBC Oct 2009 A               | 250,000,000  | 2009/04/15 | 2009/10/29 | 62.50          |
| 63258    | ABN AMRO Bank N.V. – HSCEI R Bull CBBC Oct 2009 B               | 250,000,000  | 2009/04/15 | 2009/10/29 | 62.50          |
| 63259    | ABN AMRO Bank N.V. – HSCEI R Bull CBBC Oct 2009 C               | 250,000,000  | 2009/04/15 | 2009/10/29 | 62.50          |
| 63253    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 M                 | 250,000,000  | 2009/04/15 | 2009/10/29 | 62.50          |
| 63254    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 N                 | 250,000,000  | 2009/04/15 | 2009/10/29 | 62.50          |
| 63251    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2009 Y        | 300,000,000  | 2009/04/15 | 2009/11/27 | 75.00          |
| 63252    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 A        | 300,000,000  | 2009/04/15 | 2009/12/30 | 75.00          |
| 63250    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 Z        | 300,000,000  | 2009/04/15 | 2009/12/30 | 75.00          |
| 63198    | Deutsche Bank AG – China Mobile R Bull CBBC Oct 2009 B          | 150,000,000  | 2009/04/15 | 2009/10/12 | 37.50          |
| 63196    | Deutsche Bank AG – China Life R Bull CBBC Sep 2009 D            | 150,000,000  | 2009/04/15 | 2009/09/07 | 45.00          |
| 63197    | Deutsche Bank AG – China Life R Bear CBBC Sep 2009 E            | 150,000,000  | 2009/04/15 | 2009/09/07 | 150.00         |
| 63199    | Deutsche Bank AG – A50 China R Bear CBBC Sep 2009 B             | 150,000,000  | 2009/04/15 | 2009/09/07 | 52.50          |
| 63202    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 O                   | 300,000,000  | 2009/04/15 | 2009/10/29 | 78.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                            | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63203    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 T                  | 300,000,000  | 2009/04/15 | 2009/10/29 | 75.00          |
| 63201    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 E                  | 300,000,000  | 2009/04/15 | 2009/12/30 | 99.00          |
| 63200    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 R                  | 300,000,000  | 2009/04/15 | 2009/12/30 | 90.00          |
| 63207    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 F                  | 300,000,000  | 2009/04/15 | 2009/12/30 | 105.00         |
| 63208    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 U                  | 300,000,000  | 2009/04/15 | 2009/12/30 | 120.00         |
| 63206    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 V                  | 300,000,000  | 2009/04/15 | 2009/12/30 | 144.00         |
| 63204    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 I                  | 300,000,000  | 2009/04/15 | 2010/01/28 | 105.00         |
| 63205    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 J                  | 300,000,000  | 2009/04/15 | 2010/01/28 | 114.00         |
| 63261    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Oct 2009 G           | 200,000,000  | 2009/04/15 | 2009/10/29 | 50.00          |
| 63265    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Oct 2009 H           | 200,000,000  | 2009/04/15 | 2009/10/29 | 50.00          |
| 63178    | HK Bank – HSI R Bear CBBC Dec 2009 F                           | 380,000,000  | 2009/04/15 | 2009/12/30 | 95.00          |
| 63179    | HK Bank – HSI R Bear CBBC Dec 2009 G                           | 380,000,000  | 2009/04/15 | 2009/12/30 | 95.00          |
| 63247    | KBC Fin Products Int'l Ltd. – Ch Life R Bear CBBC Aug 2009 G   | 248,000,000  | 2009/04/15 | 2009/08/10 | 69.44          |
| 63248    | KBC Fin Products Int'l Ltd. – HSBC R Bull CBBC Sep 2009 J      | 138,000,000  | 2009/04/15 | 2009/09/15 | 34.50          |
| 63245    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Aug 2009 R       | 208,000,000  | 2009/04/15 | 2009/08/28 | 52.00          |
| 63180    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Aug 2009 L       | 208,000,000  | 2009/04/15 | 2009/08/28 | 52.00          |
| 63181    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Aug 2009 P       | 208,000,000  | 2009/04/15 | 2009/08/28 | 52.00          |
| 63182    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 P       | 248,000,000  | 2009/04/15 | 2009/09/29 | 62.00          |
| 63183    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 K       | 248,000,000  | 2009/04/15 | 2009/10/29 | 66.96          |
| 63246    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 P       | 208,000,000  | 2009/04/15 | 2009/11/27 | 95.68          |
| 63249    | KBC Fin Products Int'l Ltd. – SHK Ppt R Bull CBBC Sep 2009 D   | 188,000,000  | 2009/04/15 | 2009/09/10 | 47.00          |
| 63192    | SGA Societe Generale Acceptance N.V – CLife R Bull CBBC Nov09H | 100,000,000  | 2009/04/15 | 2009/11/30 | 30.00          |
| 63193    | SGA Societe Generale Acceptance N.V – CLife R Bear CBBC Dec09D | 100,000,000  | 2009/04/15 | 2009/12/23 | 55.00          |
| 63194    | SGA Societe Generale Acceptance N.V – CP&CC R Bull CBBC Dec09B | 200,000,000  | 2009/04/15 | 2009/12/23 | 50.00          |
| 63191    | SGA Societe Generale Acceptance NV – HSCEI R Bull CBBC Oct09N  | 200,000,000  | 2009/04/15 | 2009/10/29 | 50.00          |
| 63195    | SGA Societe Generale Acceptance NV – HSCEI R Bear CBBC Oct09O  | 200,000,000  | 2009/04/15 | 2009/10/29 | 50.00          |
| 63218    | UBS AG – BOCL R Bear CBBC Dec 2009 A                           | 200,000,000  | 2009/04/15 | 2009/12/14 | 50.00          |
| 63223    | UBS AG – China Mobile R Bull CBBC Nov 2009 E                   | 300,000,000  | 2009/04/15 | 2009/11/16 | 75.00          |
| 63232    | UBS AG – China Mobile R Bear CBBC Nov 2009 F                   | 300,000,000  | 2009/04/15 | 2009/11/16 | 75.00          |
| 63219    | UBS AG – Cheung Kong R Bull CBBC Jan 2010 A                    | 200,000,000  | 2009/04/15 | 2010/01/18 | 50.00          |
| 63231    | UBS AG – Cheung Kong R Bear CBBC Jan 2010 B                    | 200,000,000  | 2009/04/15 | 2010/01/18 | 50.00          |
| 63189    | UBS AG – China Life R Bear CBBC Nov 2009 K                     | 300,000,000  | 2009/04/15 | 2009/11/16 | 75.00          |
| 63220    | UBS AG – China Life R Bear CBBC Nov 2009 L                     | 300,000,000  | 2009/04/15 | 2009/11/16 | 186.00         |
| 63221    | UBS AG – China Life R Bear CBBC Nov 2009 M                     | 300,000,000  | 2009/04/15 | 2009/11/16 | 216.00         |
| 63222    | UBS AG – China Life R Bear CBBC Nov 2009 N                     | 300,000,000  | 2009/04/15 | 2009/11/16 | 246.00         |
| 63233    | UBS AG – CNOOC R Bear CBBC Dec 2009 B                          | 200,000,000  | 2009/04/15 | 2009/12/14 | 50.00          |
| 63234    | UBS AG – CNOOC R Bear CBBC Dec 2009 C                          | 200,000,000  | 2009/04/15 | 2009/12/14 | 57.00          |
| 63235    | UBS AG – CNOOC R Bear CBBC Dec 2009 D                          | 200,000,000  | 2009/04/15 | 2009/12/14 | 67.00          |
| 63224    | UBS AG – Sinopec Corp R Bear CBBC Jan 2010 A                   | 200,000,000  | 2009/04/15 | 2010/01/18 | 52.00          |
| 63225    | UBS AG – China Shenhua R Bear CBBC Jan 2010 A                  | 200,000,000  | 2009/04/15 | 2010/01/18 | 122.00         |
| 63244    | UBS AG – A50 China R Bear CBBC Dec 2009 I                      | 300,000,000  | 2009/04/15 | 2009/12/14 | 114.00         |
| 63226    | UBS AG – HKEx R Bull CBBC Nov 2009 C                           | 300,000,000  | 2009/04/15 | 2009/11/23 | 75.00          |
| 63190    | UBS AG – HKEx R Bear CBBC Nov 2009 B                           | 300,000,000  | 2009/04/15 | 2009/11/23 | 75.00          |
| 63236    | UBS AG – HKEx R Bear CBBC Nov 2009 D                           | 300,000,000  | 2009/04/15 | 2009/11/23 | 75.00          |
| 63237    | UBS AG – HKEx R Bear CBBC Nov 2009 E                           | 300,000,000  | 2009/04/15 | 2009/11/23 | 75.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                          | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 63217    | UBS AG – HSCEI R Bull CBBC Oct 2009 P                        | 300,000,000  | 2009/04/15 | 2009/10/29 | 75.00          |
| 63184    | UBS AG – HSCEI R Bear CBBC Oct 2009 O                        | 300,000,000  | 2009/04/15 | 2009/10/29 | 75.00          |
| 63209    | UBS AG – HSI R Bull CBBC Oct 2009 G                          | 500,000,000  | 2009/04/15 | 2009/10/29 | 125.00         |
| 63210    | UBS AG – HSI R Bull CBBC Oct 2009 I                          | 500,000,000  | 2009/04/15 | 2009/10/29 | 125.00         |
| 63211    | UBS AG – HSI R Bull CBBC Dec 2009 J                          | 500,000,000  | 2009/04/15 | 2009/12/30 | 125.00         |
| 63212    | UBS AG – HSI R Bull CBBC Dec 2009 K                          | 500,000,000  | 2009/04/15 | 2009/12/30 | 125.00         |
| 63185    | UBS AG – HSI R Bear CBBC Aug 2009 F                          | 500,000,000  | 2009/04/15 | 2009/08/28 | 125.00         |
| 63186    | UBS AG – HSI R Bear CBBC Aug 2009 G                          | 500,000,000  | 2009/04/15 | 2009/08/28 | 125.00         |
| 63213    | UBS AG – HSI R Bear CBBC Sep 2009 R                          | 500,000,000  | 2009/04/15 | 2009/09/29 | 125.00         |
| 63214    | UBS AG – HSI R Bear CBBC Sep 2009 Y                          | 500,000,000  | 2009/04/15 | 2009/09/29 | 125.00         |
| 63187    | UBS AG – HSI R Bear CBBC Oct 2009 D                          | 500,000,000  | 2009/04/15 | 2009/10/29 | 125.00         |
| 63188    | UBS AG – HSI R Bear CBBC Oct 2009 P                          | 500,000,000  | 2009/04/15 | 2009/10/29 | 125.00         |
| 63215    | UBS AG – HSI R Bear CBBC Oct 2009 S                          | 500,000,000  | 2009/04/15 | 2009/10/29 | 125.00         |
| 63216    | UBS AG – HSI R Bear CBBC Oct 2009 T                          | 500,000,000  | 2009/04/15 | 2009/10/29 | 125.00         |
| 63227    | UBS AG – Hutchison R Bull CBBC Jan 2010 A                    | 200,000,000  | 2009/04/15 | 2010/01/18 | 50.00          |
| 63238    | UBS AG – Hutchison R Bear CBBC Jan 2010 B                    | 200,000,000  | 2009/04/15 | 2010/01/18 | 50.00          |
| 63239    | UBS AG – Hutchison R Bear CBBC Jan 2010 C                    | 200,000,000  | 2009/04/15 | 2010/01/18 | 50.00          |
| 63240    | UBS AG – Petrochina R Bear CBBC Dec 2009 A                   | 300,000,000  | 2009/04/15 | 2009/12/14 | 78.00          |
| 63228    | UBS AG – Ping An R Bear CBBC Jan 2010 A                      | 200,000,000  | 2009/04/15 | 2010/01/18 | 50.00          |
| 63229    | UBS AG – SHK Ppt R Bull CBBC Jan 2010 B                      | 200,000,000  | 2009/04/15 | 2010/01/18 | 50.00          |
| 63230    | UBS AG – SHK Ppt R Bull CBBC Jan 2010 C                      | 200,000,000  | 2009/04/15 | 2010/01/18 | 50.00          |
| 63241    | UBS AG – SHK Ppt R Bear CBBC Jan 2010 D                      | 200,000,000  | 2009/04/15 | 2010/01/18 | 50.00          |
| 63242    | UBS AG – SHK Ppt R Bear CBBC Jan 2010 E                      | 200,000,000  | 2009/04/15 | 2010/01/18 | 50.00          |
| 63243    | UBS AG – SHK Ppt R Bear CBBC Jan 2010 F                      | 200,000,000  | 2009/04/15 | 2010/01/18 | 59.00          |
| 63277    | BNP Paribas Arbit Issu B.V. – HKEx R Bull CBBC Dec 2009 A    | 100,000,000  | 2009/04/16 | 2009/12/31 | 25.00          |
| 63281    | BNP Paribas Arbit Issu B.V. – HKEx R Bear CBBC Dec 2009 B    | 100,000,000  | 2009/04/16 | 2009/12/31 | 28.00          |
| 63278    | BNP Paribas Arbit Issu B.V. – HSBC R Bull CBBC Nov 2009 G    | 200,000,000  | 2009/04/16 | 2009/11/30 | 50.00          |
| 63289    | Deutsche Bank AG – HSI R Bull CBBC Nov 2009 H                | 300,000,000  | 2009/04/16 | 2009/11/27 | 81.00          |
| 63290    | Deutsche Bank AG – HSI R Bull CBBC Nov 2009 M                | 300,000,000  | 2009/04/16 | 2009/11/27 | 78.00          |
| 63285    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 I                | 300,000,000  | 2009/04/16 | 2009/11/27 | 75.00          |
| 63303    | KBC Fin Products Int'l Ltd. – Ch Life R Bear CBBC Sep 2009 I | 128,000,000  | 2009/04/16 | 2009/09/01 | 70.40          |
| 63304    | KBC Fin Products Int'l Ltd. – CP&CC R Bull CBBC Oct 2009 C   | 208,000,000  | 2009/04/16 | 2009/10/05 | 52.00          |
| 63305    | KBC Fin Products Int'l Ltd. – CP&CC R Bear CBBC Nov 2009 A   | 208,000,000  | 2009/04/16 | 2009/11/16 | 79.04          |
| 63307    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Oct 2009 E    | 288,000,000  | 2009/04/16 | 2009/10/05 | 72.00          |
| 63308    | KBC Fin Products Int'l Ltd. – HSCEI R Bull CBBC Sep 2009 G   | 268,000,000  | 2009/04/16 | 2009/09/29 | 67.00          |
| 63309    | KBC Fin Products Int'l Ltd. – HSCEI R Bull CBBC Sep 2009 H   | 268,000,000  | 2009/04/16 | 2009/09/29 | 67.00          |
| 63310    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Sep 2009 X     | 248,000,000  | 2009/04/16 | 2009/09/29 | 62.00          |
| 63306    | KBC Fin Products Int'l Ltd. – SHK Ppt R Bear CBBC Sep 2009 E | 188,000,000  | 2009/04/16 | 2009/09/15 | 47.00          |
| 63301    | Macquarie Bank Ltd. – HSBC R Bull CBBC Jun 2010 A            | 200,000,000  | 2009/04/16 | 2010/06/29 | 50.00          |
| 63302    | Macquarie Bank Ltd. – HSBC R Bear CBBC Mar 2010 A            | 200,000,000  | 2009/04/16 | 2010/03/30 | 50.40          |
| 63282    | CC Rabobank B.A. – A50 China R Bull CBBC Oct 2009 A          | 150,000,000  | 2009/04/16 | 2009/10/29 | 37.50          |
| 63286    | CC Rabobank B.A. – A50 China R Bear CBBC Oct 2009 B          | 150,000,000  | 2009/04/16 | 2009/10/29 | 37.50          |
| 63283    | CC Rabobank B.A. – HSI R Bull CBBC Oct 2009 D                | 150,000,000  | 2009/04/16 | 2009/10/29 | 37.50          |
| 63284    | CC Rabobank B.A. – HSI R Bull CBBC Feb 2010 A                | 150,000,000  | 2009/04/16 | 2010/02/25 | 37.50          |
| 63287    | CC Rabobank B.A. – HSI R Bear CBBC Oct 2009 E                | 150,000,000  | 2009/04/16 | 2009/10/29 | 37.50          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63288    | CC Rabobank B.A. – HSI R Bear CBBC Feb 2010 B                   | 150,000,000  | 2009/04/16 | 2010/02/25 | 37.50          |
| 63264    | SGA Societe Generale Acceptance N.V. – CCCCL R Bull CBBC Nov09A | 100,000,000  | 2009/04/16 | 2009/11/18 | 25.00          |
| 63266    | SGA Societe Generale Acceptance N.V. – CCHC R Bull CBBC Dec09B  | 100,000,000  | 2009/04/16 | 2009/12/16 | 25.00          |
| 63272    | SGA Societe Generale Acceptance N.V. – CCHC R Bear CBBC Dec09C  | 100,000,000  | 2009/04/16 | 2009/12/16 | 25.00          |
| 63273    | SGA Societe Generale Acceptance N.V. – HKEx R Bear CBBC Dec09A  | 200,000,000  | 2009/04/16 | 2009/12/16 | 60.00          |
| 63262    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09S   | 300,000,000  | 2009/04/16 | 2009/10/29 | 75.00          |
| 63263    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09T   | 300,000,000  | 2009/04/16 | 2009/10/29 | 75.00          |
| 63269    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09U   | 300,000,000  | 2009/04/16 | 2009/10/29 | 75.00          |
| 63270    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09V   | 300,000,000  | 2009/04/16 | 2009/10/29 | 79.50          |
| 63271    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09W   | 300,000,000  | 2009/04/16 | 2009/10/29 | 84.00          |
| 63267    | SGA Societe Generale Acceptance N.V. – ICBC R Bull CBBC Nov09A  | 200,000,000  | 2009/04/16 | 2009/11/18 | 50.00          |
| 63268    | SGA Societe Generale Acceptance NV – PingAn R Bull CBBC Oct09D  | 200,000,000  | 2009/04/16 | 2009/10/28 | 50.00          |
| 63274    | SGA Societe Generale Acceptance NV – PingAn R Bear CBBC Oct09E  | 200,000,000  | 2009/04/16 | 2009/10/28 | 50.00          |
| 63275    | UBS AG – BOCL R Bear CBBC Dec 2009 B                            | 200,000,000  | 2009/04/16 | 2009/12/14 | 50.00          |
| 63294    | UBS AG – China Mobile R Bull CBBC Jan 2010 A                    | 300,000,000  | 2009/04/16 | 2010/01/18 | 75.00          |
| 63295    | UBS AG – China Mobile R Bull CBBC Jan 2010 B                    | 300,000,000  | 2009/04/16 | 2010/01/18 | 75.00          |
| 63296    | UBS AG – China Mobile R Bull CBBC Jan 2010 C                    | 300,000,000  | 2009/04/16 | 2010/01/18 | 75.00          |
| 63291    | UBS AG – CC Bank R Bull CBBC Jan 2010 A                         | 200,000,000  | 2009/04/16 | 2010/01/18 | 50.00          |
| 63292    | UBS AG – Cheung Kong R Bull CBBC Jan 2010 C                     | 200,000,000  | 2009/04/16 | 2010/01/18 | 59.00          |
| 63293    | UBS AG – China Life R Bull CBBC Jan 2010 A                      | 300,000,000  | 2009/04/16 | 2010/01/18 | 288.00         |
| 63276    | UBS AG – CM Bank R Bear CBBC Jan 2010 A                         | 200,000,000  | 2009/04/16 | 2010/01/18 | 116.00         |
| 63300    | UBS AG – A50 China R Bull CBBC Jan 2010 A                       | 300,000,000  | 2009/04/16 | 2010/01/18 | 121.50         |
| 63279    | UBS AG – HSI R Bull CBBC Oct 2009 U                             | 500,000,000  | 2009/04/16 | 2009/10/29 | 125.00         |
| 63280    | UBS AG – HSI R Bull CBBC Nov 2009 I                             | 500,000,000  | 2009/04/16 | 2009/11/27 | 125.00         |
| 63297    | UBS AG – ICBC R Bear CBBC Jan 2010 A                            | 200,000,000  | 2009/04/16 | 2010/01/18 | 50.00          |
| 63298    | UBS AG – ICBC R Bear CBBC Jan 2010 B                            | 200,000,000  | 2009/04/16 | 2010/01/18 | 50.00          |
| 63299    | UBS AG – Petrochina R Bull CBBC Jan 2010 A                      | 200,000,000  | 2009/04/16 | 2010/01/18 | 51.00          |
| 63321    | Deutsche Bank AG – China Life R Bear CBBC Sep 2009 F            | 150,000,000  | 2009/04/17 | 2009/09/07 | 39.00          |
| 63323    | Deutsche Bank AG – A50 China R Bear CBBC Sep 2009 C             | 150,000,000  | 2009/04/17 | 2009/09/07 | 37.50          |
| 63322    | Deutsche Bank AG – HKEx R Bear CBBC Oct 2009 C                  | 150,000,000  | 2009/04/17 | 2009/10/12 | 39.00          |
| 63315    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 D                   | 300,000,000  | 2009/04/17 | 2009/11/27 | 81.00          |
| 63316    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 E                   | 300,000,000  | 2009/04/17 | 2009/11/27 | 78.00          |
| 63314    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 J                   | 300,000,000  | 2009/04/17 | 2009/11/27 | 75.00          |
| 63311    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 F        | 208,000,000  | 2009/04/17 | 2009/10/29 | 52.00          |
| 63312    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 Q        | 208,000,000  | 2009/04/17 | 2009/11/27 | 52.00          |
| 63313    | SGA Societe Generale Acceptance N.V. – CP&CC R Bear CBBC Dec09C | 200,000,000  | 2009/04/17 | 2009/12/23 | 50.00          |
| 63317    | UBS AG – China Life R Bear CBBC Nov 2009 O                      | 300,000,000  | 2009/04/17 | 2009/11/16 | 75.00          |
| 63318    | UBS AG – HKEx R Bear CBBC Nov 2009 F                            | 300,000,000  | 2009/04/17 | 2009/11/23 | 75.00          |
| 63319    | UBS AG – HSBC R Bear CBBC Dec 2009 F                            | 300,000,000  | 2009/04/17 | 2009/12/14 | 75.00          |
| 63320    | UBS AG – Ping An R Bear CBBC Dec 2009 A                         | 200,000,000  | 2009/04/17 | 2009/12/14 | 50.00          |
| 60238    | UBS AG – China Mobile R Bull CBBC May 2009 E                    | 300,000,000  | 2009/04/20 | 2009/05/25 | 54.00          |
| 63376    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 O                 | 250,000,000  | 2009/04/21 | 2009/10/29 | 62.50          |
| 63377    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 P                 | 250,000,000  | 2009/04/21 | 2009/10/29 | 62.50          |
| 63378    | ABN AMRO Bank N.V. – HSI R Bear CBBC Aug 2009 A                 | 250,000,000  | 2009/04/21 | 2009/08/28 | 62.50          |
| 63379    | ABN AMRO Bank N.V. – HSI R Bear CBBC Aug 2009 E                 | 250,000,000  | 2009/04/21 | 2009/08/28 | 62.50          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63380    | ABN AMRO Bank N.V. – HSI R Bear CBBC Aug 2009 G                 | 250,000,000  | 2009/04/21 | 2009/08/28 | 62.50          |
| 63381    | ABN AMRO Bank N.V. – HSI R Bear CBBC Aug 2009 I                 | 250,000,000  | 2009/04/21 | 2009/08/28 | 62.50          |
| 63339    | Deutsche Bank AG – CC Bank R Bear CBBC Sep 2009 A               | 150,000,000  | 2009/04/21 | 2009/09/07 | 51.00          |
| 63340    | Deutsche Bank AG – China Life R Bull CBBC Sep 2009 G            | 150,000,000  | 2009/04/21 | 2009/09/14 | 52.50          |
| 63341    | Deutsche Bank AG – China Life R Bull CBBC Sep 2009 H            | 150,000,000  | 2009/04/21 | 2009/09/14 | 37.50          |
| 63342    | Deutsche Bank AG – China Life R Bear CBBC Sep 2009 I            | 150,000,000  | 2009/04/21 | 2009/09/14 | 180.00         |
| 63345    | Deutsche Bank AG – A50 China R Bull CBBC Sep 2009 D             | 150,000,000  | 2009/04/21 | 2009/09/14 | 37.50          |
| 63346    | Deutsche Bank AG – A50 China R Bear CBBC Sep 2009 E             | 150,000,000  | 2009/04/21 | 2009/09/14 | 60.00          |
| 63387    | Deutsche Bank AG – HSBC R Bull CBBC Sep 2009 I                  | 150,000,000  | 2009/04/21 | 2009/09/21 | 37.50          |
| 63348    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 G                   | 300,000,000  | 2009/04/21 | 2009/10/29 | 78.00          |
| 63386    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 H                   | 300,000,000  | 2009/04/21 | 2009/10/29 | 75.00          |
| 63347    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 V                   | 300,000,000  | 2009/04/21 | 2009/10/29 | 75.00          |
| 63385    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 Z                   | 300,000,000  | 2009/04/21 | 2009/10/29 | 78.00          |
| 63349    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 R                   | 300,000,000  | 2009/04/21 | 2009/10/29 | 90.00          |
| 63350    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 Y                   | 300,000,000  | 2009/04/21 | 2009/10/29 | 120.00         |
| 63351    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 W                   | 300,000,000  | 2009/04/21 | 2009/12/30 | 90.00          |
| 63343    | Deutsche Bank AG – ICBC R Bull CBBC Oct 2009 A                  | 150,000,000  | 2009/04/21 | 2009/10/19 | 37.50          |
| 63344    | Deutsche Bank AG – ICBC R Bear CBBC Oct 2009 B                  | 150,000,000  | 2009/04/21 | 2009/10/19 | 60.00          |
| 63382    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Oct 2009 I            | 200,000,000  | 2009/04/21 | 2009/10/29 | 50.00          |
| 63383    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Oct 2009 J            | 200,000,000  | 2009/04/21 | 2009/10/29 | 50.00          |
| 63384    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Oct 2009 K            | 200,000,000  | 2009/04/21 | 2009/10/29 | 50.00          |
| 63372    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Sep 2009 Q        | 208,000,000  | 2009/04/21 | 2009/09/29 | 52.00          |
| 63352    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Sep 2009 V        | 208,000,000  | 2009/04/21 | 2009/09/29 | 52.00          |
| 63353    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 U        | 248,000,000  | 2009/04/21 | 2009/10/29 | 62.00          |
| 63356    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 R        | 248,000,000  | 2009/04/21 | 2009/09/29 | 62.00          |
| 63326    | CC Rabobank B.A. – HSCEI R Bull CBBC Dec 2009 E                 | 150,000,000  | 2009/04/21 | 2009/12/30 | 37.50          |
| 63327    | CC Rabobank B.A. – HSCEI R Bull CBBC Dec 2009 F                 | 150,000,000  | 2009/04/21 | 2009/12/30 | 37.50          |
| 63329    | CC Rabobank B.A. – HSCEI R Bull CBBC Mar 2010 A                 | 150,000,000  | 2009/04/21 | 2010/03/30 | 37.50          |
| 63333    | CC Rabobank B.A. – HSCEI R Bear CBBC Dec 2009 G                 | 150,000,000  | 2009/04/21 | 2009/12/30 | 37.50          |
| 63334    | CC Rabobank B.A. – HSCEI R Bear CBBC Dec 2009 H                 | 150,000,000  | 2009/04/21 | 2009/12/30 | 37.50          |
| 63330    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 A                   | 150,000,000  | 2009/04/21 | 2009/12/30 | 37.50          |
| 63331    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 B                   | 150,000,000  | 2009/04/21 | 2009/12/30 | 37.50          |
| 63332    | CC Rabobank B.A. – HSI R Bull CBBC Mar 2010 A                   | 150,000,000  | 2009/04/21 | 2010/03/30 | 37.50          |
| 63335    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 C                   | 150,000,000  | 2009/04/21 | 2009/12/30 | 37.50          |
| 63336    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 D                   | 150,000,000  | 2009/04/21 | 2009/12/30 | 37.50          |
| 63337    | SGA Societe Generale Acceptance N.V. – BOCL R Bear CBBC Oct09C  | 100,000,000  | 2009/04/21 | 2009/10/28 | 25.00          |
| 63338    | SGA Societe Generale Acceptance N.V. – CLife R Bear CBBC Dec09E | 100,000,000  | 2009/04/21 | 2009/12/23 | 59.00          |
| 63354    | UBS AG – BOCL R Bull CBBC Dec 2009 C                            | 200,000,000  | 2009/04/21 | 2009/12/14 | 50.00          |
| 63358    | UBS AG – BOCL R Bear CBBC Dec 2009 D                            | 200,000,000  | 2009/04/21 | 2009/12/14 | 50.00          |
| 63355    | UBS AG – BankComm R Bull CBBC Jan 2010 A                        | 200,000,000  | 2009/04/21 | 2010/01/18 | 50.00          |
| 63359    | UBS AG – CCCCL R Bull CBBC Jan 2010 A                           | 200,000,000  | 2009/04/21 | 2010/01/18 | 52.00          |
| 63357    | UBS AG – Cheung Kong R Bear CBBC Jan 2010 D                     | 200,000,000  | 2009/04/21 | 2010/01/18 | 50.00          |
| 63360    | UBS AG – China Life R Bull CBBC Dec 2009 A                      | 300,000,000  | 2009/04/21 | 2009/12/14 | 75.00          |
| 63361    | UBS AG – CM Bank R Bull CBBC Jan 2010 B                         | 200,000,000  | 2009/04/21 | 2010/01/18 | 58.00          |
| 63363    | UBS AG – CNOOC R Bull CBBC Dec 2009 E                           | 200,000,000  | 2009/04/21 | 2009/12/14 | 50.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63362    | UBS AG – China Shenhua R Bear CBBC Jan 2010 B                   | 200,000,000  | 2009/04/21 | 2010/01/18 | 50.00          |
| 63365    | UBS AG – A50 China R Bull CBBC Dec 2009 J                       | 300,000,000  | 2009/04/21 | 2009/12/14 | 75.00          |
| 63373    | UBS AG – HSBC R Bull CBBC Dec 2009 G                            | 300,000,000  | 2009/04/21 | 2009/12/14 | 75.00          |
| 63366    | UBS AG – HSCEI R Bull CBBC Nov 2009 B                           | 300,000,000  | 2009/04/21 | 2009/11/27 | 75.00          |
| 63325    | UBS AG – HSCEI R Bear CBBC Nov 2009 A                           | 300,000,000  | 2009/04/21 | 2009/11/27 | 75.00          |
| 63370    | UBS AG – HSCEI R Bear CBBC Nov 2009 C                           | 300,000,000  | 2009/04/21 | 2009/11/27 | 75.00          |
| 63374    | UBS AG – HSI R Bull CBBC Oct 2009 F                             | 500,000,000  | 2009/04/21 | 2009/10/29 | 125.00         |
| 63324    | UBS AG – HSI R Bull CBBC Dec 2009 L                             | 500,000,000  | 2009/04/21 | 2009/12/30 | 125.00         |
| 63367    | UBS AG – HSI R Bull CBBC Dec 2009 N                             | 500,000,000  | 2009/04/21 | 2009/12/30 | 125.00         |
| 63368    | UBS AG – HSI R Bull CBBC Dec 2009 O                             | 500,000,000  | 2009/04/21 | 2009/12/30 | 125.00         |
| 63375    | UBS AG – HSI R Bull CBBC Dec 2009 Q                             | 500,000,000  | 2009/04/21 | 2009/12/30 | 125.00         |
| 63369    | UBS AG – HSI R Bear CBBC Oct 2009 H                             | 500,000,000  | 2009/04/21 | 2009/10/29 | 125.00         |
| 63328    | UBS AG – HSI R Bear CBBC Dec 2009 M                             | 500,000,000  | 2009/04/21 | 2009/12/30 | 125.00         |
| 63371    | UBS AG – HSI R Bear CBBC Dec 2009 P                             | 500,000,000  | 2009/04/21 | 2009/12/30 | 125.00         |
| 63364    | UBS AG – Ping An R Bull CBBC Jan 2010 B                         | 200,000,000  | 2009/04/21 | 2010/01/18 | 50.00          |
| 63417    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 Q                 | 250,000,000  | 2009/04/22 | 2009/10/29 | 62.50          |
| 63397    | BNP Paribas Arbit Issu B.V. – Ch Life R Bear CBBC Dec 2009 C    | 100,000,000  | 2009/04/22 | 2009/12/31 | 62.00          |
| 63398    | BNP Paribas Arbit Issu B.V. – HSBC R Bull CBBC Dec 2009 D       | 100,000,000  | 2009/04/22 | 2009/12/31 | 25.00          |
| 63401    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 C        | 300,000,000  | 2009/04/22 | 2009/12/30 | 75.00          |
| 63402    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 E        | 300,000,000  | 2009/04/22 | 2009/12/30 | 75.00          |
| 63413    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 G        | 300,000,000  | 2009/04/22 | 2009/12/30 | 75.00          |
| 63403    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Oct 2009 R        | 300,000,000  | 2009/04/22 | 2009/10/29 | 75.00          |
| 63404    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Oct 2009 S        | 300,000,000  | 2009/04/22 | 2009/10/29 | 99.00          |
| 63418    | Deutsche Bank AG – China Mobile R Bull CBBC Oct 2009 C          | 150,000,000  | 2009/04/22 | 2009/10/12 | 37.50          |
| 63407    | Deutsche Bank AG – CNOOC R Bear CBBC Oct 2009 A                 | 150,000,000  | 2009/04/22 | 2009/10/19 | 73.50          |
| 63406    | Deutsche Bank AG – Sinopec Corp R Bear CBBC Oct 2009 A          | 150,000,000  | 2009/04/22 | 2009/10/19 | 73.50          |
| 63419    | Deutsche Bank AG – HKEx R Bear CBBC Oct 2009 D                  | 150,000,000  | 2009/04/22 | 2009/10/12 | 64.50          |
| 63405    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 M                   | 300,000,000  | 2009/04/22 | 2009/10/29 | 81.00          |
| 63420    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 N                   | 300,000,000  | 2009/04/22 | 2009/10/29 | 81.00          |
| 63410    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 A                   | 300,000,000  | 2009/04/22 | 2009/10/29 | 78.00          |
| 63409    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 P                   | 300,000,000  | 2009/04/22 | 2009/10/29 | 75.00          |
| 63421    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 X                   | 300,000,000  | 2009/04/22 | 2009/12/30 | 150.00         |
| 63408    | Deutsche Bank AG – Petrochina R Bear CBBC Oct 2009 A            | 150,000,000  | 2009/04/22 | 2009/10/19 | 75.00          |
| 63395    | HK Bank – HSI R Bull CBBC Nov 2009 D                            | 280,000,000  | 2009/04/22 | 2009/11/27 | 70.00          |
| 63396    | HK Bank – HSI R Bull CBBC Dec 2009 H                            | 280,000,000  | 2009/04/22 | 2009/12/30 | 70.00          |
| 63399    | HK Bank – HSI R Bear CBBC Nov 2009 E                            | 380,000,000  | 2009/04/22 | 2009/11/27 | 95.00          |
| 63400    | HK Bank – HSI R Bear CBBC Dec 2009 I                            | 380,000,000  | 2009/04/22 | 2009/12/30 | 95.00          |
| 63412    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 L        | 248,000,000  | 2009/04/22 | 2009/10/29 | 62.00          |
| 63411    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 T        | 208,000,000  | 2009/04/22 | 2009/09/29 | 52.00          |
| 63394    | Macquarie Bank Ltd. – HSI R Bull CBBC Oct 2009 C                | 300,000,000  | 2009/04/22 | 2009/10/29 | 75.00          |
| 63390    | SGA Societe Generale Acceptance N.V. – BOCOM R Bear CBBC Dec09B | 200,000,000  | 2009/04/22 | 2009/12/23 | 52.00          |
| 63391    | SGA Societe Generale Acceptance N.V. – CMB R Bull CBBC Dec 09A  | 100,000,000  | 2009/04/22 | 2009/12/23 | 46.00          |
| 63393    | SGA Societe Generale Acceptance N.V. – HKEx R Bull CBBC Dec09B  | 200,000,000  | 2009/04/22 | 2009/12/16 | 50.00          |
| 63388    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09X   | 300,000,000  | 2009/04/22 | 2009/10/29 | 75.00          |
| 63389    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09Y   | 300,000,000  | 2009/04/22 | 2009/10/29 | 75.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63392    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09Z   | 300,000,000  | 2009/04/22 | 2009/10/29 | 75.00          |
| 63414    | UBS AG – China Mobile R Bull CBBC Nov 2009 G                    | 300,000,000  | 2009/04/22 | 2009/11/16 | 75.00          |
| 63415    | UBS AG – China Mobile R Bull CBBC Nov 2009 H                    | 300,000,000  | 2009/04/22 | 2009/11/16 | 75.00          |
| 63416    | UBS AG – HKEx R Bull CBBC Nov 2009 G                            | 300,000,000  | 2009/04/22 | 2009/11/23 | 75.00          |
| 61206    | Macquarie Bank Ltd. – HSI R Bear CBBC Jun 2009 E                | 300,000,000  | 2009/04/22 | 2009/06/29 | 45.90          |
| 63461    | Deutsche Bank AG – CNOOC R Bull CBBC Oct 2009 B                 | 150,000,000  | 2009/04/23 | 2009/10/19 | 37.50          |
| 63443    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 K                   | 300,000,000  | 2009/04/23 | 2009/10/29 | 75.00          |
| 63449    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 L                   | 300,000,000  | 2009/04/23 | 2009/10/29 | 75.00          |
| 63462    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Nov 2009 E            | 200,000,000  | 2009/04/23 | 2009/11/27 | 50.00          |
| 63450    | KBC Fin Products Int'l Ltd. – Ch Mobile R Bull CBBC Oct 09 B    | 258,000,000  | 2009/04/23 | 2009/10/02 | 64.50          |
| 63451    | KBC Fin Products Int'l Ltd. – HSBC R Bear CBBC Oct 2009 F       | 138,000,000  | 2009/04/23 | 2009/10/09 | 34.50          |
| 63453    | KBC Fin Products Int'l Ltd. – HSCEI R Bear CBBC Oct 2009 G      | 208,000,000  | 2009/04/23 | 2009/10/29 | 52.00          |
| 63456    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 M        | 208,000,000  | 2009/04/23 | 2009/10/29 | 52.00          |
| 63454    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 P        | 208,000,000  | 2009/04/23 | 2009/09/29 | 52.00          |
| 63452    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 G        | 208,000,000  | 2009/04/23 | 2009/10/29 | 89.44          |
| 63460    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 I        | 208,000,000  | 2009/04/23 | 2009/10/29 | 52.00          |
| 63455    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 R        | 208,000,000  | 2009/04/23 | 2009/11/27 | 64.48          |
| 63422    | Macquarie Bank Ltd. – HSI R Bull CBBC Oct 2009 D                | 300,000,000  | 2009/04/23 | 2009/10/29 | 75.00          |
| 63423    | Macquarie Bank Ltd. – HSI R Bear CBBC Aug 2009 A                | 300,000,000  | 2009/04/23 | 2009/08/28 | 75.00          |
| 63426    | Macquarie Bank Ltd. – HSI R Bear CBBC Oct 2009 E                | 300,000,000  | 2009/04/23 | 2009/10/29 | 75.00          |
| 63438    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 E                   | 150,000,000  | 2009/04/23 | 2009/12/30 | 37.50          |
| 63439    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 F                   | 150,000,000  | 2009/04/23 | 2009/12/30 | 37.50          |
| 63440    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 G                   | 150,000,000  | 2009/04/23 | 2009/12/30 | 37.50          |
| 63441    | CC Rabobank B.A. – HSI R Bull CBBC Mar 2010 B                   | 150,000,000  | 2009/04/23 | 2010/03/30 | 37.50          |
| 63442    | CC Rabobank B.A. – HSI R Bull CBBC Jun 2010 A                   | 150,000,000  | 2009/04/23 | 2010/06/29 | 37.50          |
| 63444    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 H                   | 150,000,000  | 2009/04/23 | 2009/12/30 | 37.50          |
| 63445    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 I                   | 150,000,000  | 2009/04/23 | 2009/12/30 | 37.50          |
| 63446    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 J                   | 150,000,000  | 2009/04/23 | 2009/12/30 | 37.50          |
| 63447    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 K                   | 150,000,000  | 2009/04/23 | 2009/12/30 | 37.50          |
| 63448    | CC Rabobank B.A. – HSI R Bear CBBC Mar 2010 C                   | 150,000,000  | 2009/04/23 | 2010/03/30 | 37.50          |
| 63427    | SGA Societe Generale Acceptance N.V. – CMob R Bull CBBC Dec09B  | 200,000,000  | 2009/04/23 | 2009/12/16 | 50.00          |
| 63424    | SGA Societe Generale Acceptance N.V. – CCoal R Bull CBBC Dec09A | 100,000,000  | 2009/04/23 | 2009/12/16 | 26.00          |
| 63428    | SGA Societe Generale Acceptance N.V. – CCoal R Bear CBBC Dec09B | 100,000,000  | 2009/04/23 | 2009/12/16 | 30.00          |
| 63425    | SGA Societe Generale Acceptance N.V. – CMB R Bear CBBC Dec09B   | 100,000,000  | 2009/04/23 | 2009/12/16 | 50.00          |
| 63430    | SGA Societe Generale Acceptance N.V. – CNOOC R Bull CBBC Oct09B | 200,000,000  | 2009/04/23 | 2009/10/21 | 50.00          |
| 63429    | SGA Societe Generale Acceptance N.V. – CP&CC R Bear CBBC Dec09D | 200,000,000  | 2009/04/23 | 2009/12/16 | 50.00          |
| 63431    | SGA Societe Generale Acceptance N.V. – HS Bk R Bull CBBC Oct09C | 200,000,000  | 2009/04/23 | 2009/10/21 | 54.00          |
| 63435    | SGA Societe Generale Acceptance N.V. – HS Bk R Bear CBBC Oct09D | 200,000,000  | 2009/04/23 | 2009/10/21 | 52.00          |
| 63432    | SGA Societe Generale Acceptance N.V. – HSBC R Bull CBBC Oct09M  | 200,000,000  | 2009/04/23 | 2009/10/28 | 50.00          |
| 63433    | SGA Societe Generale Acceptance N.V. – SHK P R Bull CBBC Sep09B | 100,000,000  | 2009/04/23 | 2009/09/30 | 25.00          |
| 63434    | SGA Societe Generale Acceptance N.V. – SHK P R Bear CBBC Jul09H | 100,000,000  | 2009/04/23 | 2009/07/27 | 29.00          |
| 63457    | UBS AG – HKEx R Bear CBBC Dec 2009 A                            | 300,000,000  | 2009/04/23 | 2009/12/21 | 81.00          |
| 63458    | UBS AG – HKEx R Bear CBBC Dec 2009 B                            | 300,000,000  | 2009/04/23 | 2009/12/21 | 96.00          |
| 63459    | UBS AG – HKEx R Bear CBBC Dec 2009 C                            | 300,000,000  | 2009/04/23 | 2009/12/21 | 111.00         |
| 63436    | UBS AG – HSI R Bear CBBC Nov 2009 H                             | 500,000,000  | 2009/04/23 | 2009/11/27 | 125.00         |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63437    | UBS AG – HSI R Bear CBBC Nov 2009 J                             | 500,000,000  | 2009/04/23 | 2009/11/27 | 125.00         |
| 63471    | ABN AMRO Bank N.V. – HSI R Bear CBBC Aug 2009 N                 | 250,000,000  | 2009/04/24 | 2009/08/28 | 62.50          |
| 63466    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 I        | 300,000,000  | 2009/04/24 | 2009/12/30 | 75.00          |
| 63465    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 I                   | 300,000,000  | 2009/04/24 | 2009/10/29 | 75.00          |
| 63464    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 S                   | 300,000,000  | 2009/04/24 | 2009/10/29 | 75.00          |
| 63470    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Jul 2009 W        | 208,000,000  | 2009/04/24 | 2009/07/30 | 52.00          |
| 63463    | SGA Societe Generale Acceptance N.V. – CCHC R Bear CBBC Dec09D  | 100,000,000  | 2009/04/24 | 2009/12/16 | 25.00          |
| 63467    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09C   | 300,000,000  | 2009/04/24 | 2009/10/29 | 75.00          |
| 63468    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09D   | 300,000,000  | 2009/04/24 | 2009/10/29 | 75.00          |
| 63472    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09E   | 300,000,000  | 2009/04/24 | 2009/10/29 | 75.00          |
| 63473    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09L   | 300,000,000  | 2009/04/24 | 2009/10/29 | 75.00          |
| 63469    | UBS AG – HSI R Bull CBBC Dec 2009 R                             | 500,000,000  | 2009/04/24 | 2009/12/30 | 125.00         |
| 63477    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 L                   | 300,000,000  | 2009/04/27 | 2009/11/27 | 90.00          |
| 63478    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 K                   | 300,000,000  | 2009/04/27 | 2010/01/28 | 120.00         |
| 63479    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Nov 2009 F            | 200,000,000  | 2009/04/27 | 2009/11/27 | 50.00          |
| 63474    | SGA Societe Generale Acceptance N.V. – CLife R Bear CBBC Dec09F | 100,000,000  | 2009/04/27 | 2009/12/30 | 81.00          |
| 63475    | SGA Societe Generale Acceptance N.V. – CP&CC R Bear CBBC Dec09E | 200,000,000  | 2009/04/27 | 2009/12/30 | 52.00          |
| 63476    | SGA Societe Generale Acceptance N.V. – TCH R Bull CBBC Dec 09D  | 150,000,000  | 2009/04/27 | 2009/12/30 | 37.50          |
| 63480    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 R                 | 250,000,000  | 2009/04/28 | 2009/10/29 | 62.50          |
| 63499    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 S                 | 250,000,000  | 2009/04/28 | 2009/10/29 | 62.50          |
| 63500    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 T                 | 250,000,000  | 2009/04/28 | 2009/10/29 | 62.50          |
| 63501    | ABN AMRO Bank N.V. – HSI R Bull CBBC Oct 2009 U                 | 250,000,000  | 2009/04/28 | 2009/10/29 | 62.50          |
| 63502    | ABN AMRO Bank N.V. – HSI R Bear CBBC Aug 2009 O                 | 250,000,000  | 2009/04/28 | 2009/08/28 | 62.50          |
| 63487    | Deutsche Bank AG – China Mobile R Bear CBBC Oct 2009 D          | 150,000,000  | 2009/04/28 | 2009/10/12 | 37.50          |
| 63488    | Deutsche Bank AG – CNOOC R Bear CBBC Oct 2009 C                 | 150,000,000  | 2009/04/28 | 2009/10/19 | 37.50          |
| 63489    | Deutsche Bank AG – HSBC R Bear CBBC Sep 2009 J                  | 150,000,000  | 2009/04/28 | 2009/09/21 | 37.50          |
| 63491    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 G                   | 300,000,000  | 2009/04/28 | 2009/11/27 | 96.00          |
| 63492    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 P                   | 300,000,000  | 2009/04/28 | 2009/11/27 | 90.00          |
| 63490    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 U                   | 300,000,000  | 2009/04/28 | 2009/11/27 | 75.00          |
| 63498    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Nov 2009 G            | 200,000,000  | 2009/04/28 | 2009/11/27 | 50.00          |
| 63483    | SGA Societe Generale Acceptance N.V. – CNOOC R Bear CBBC Dec09A | 200,000,000  | 2009/04/28 | 2009/12/30 | 60.00          |
| 63484    | SGA Societe Generale Acceptance N.V. – A50 R Bear CBBC Dec09A   | 200,000,000  | 2009/04/28 | 2009/12/30 | 70.00          |
| 63486    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09H   | 300,000,000  | 2009/04/28 | 2009/10/29 | 75.00          |
| 63485    | SGA Societe Generale Acceptance NV – PingAn R Bear CBBC Dec09A  | 200,000,000  | 2009/04/28 | 2009/12/30 | 50.00          |
| 63496    | UBS AG – China Mobile R Bear CBBC Nov 2009 I                    | 300,000,000  | 2009/04/28 | 2009/11/16 | 75.00          |
| 63495    | UBS AG – CC Bank R Bear CBBC Dec 2009 D                         | 200,000,000  | 2009/04/28 | 2009/12/14 | 50.00          |
| 63497    | UBS AG – HSBC R Bear CBBC Dec 2009 H                            | 300,000,000  | 2009/04/28 | 2009/12/14 | 75.00          |
| 63481    | UBS AG – HSCEI R Bull CBBC Nov 2009 D                           | 300,000,000  | 2009/04/28 | 2009/11/27 | 75.00          |
| 63482    | UBS AG – HSI R Bull CBBC Dec 2009 S                             | 500,000,000  | 2009/04/28 | 2009/12/30 | 125.00         |
| 63493    | UBS AG – HSI R Bear CBBC Dec 2009 T                             | 500,000,000  | 2009/04/28 | 2009/12/30 | 125.00         |
| 63494    | UBS AG – HSI R Bear CBBC Dec 2009 U                             | 500,000,000  | 2009/04/28 | 2009/12/30 | 125.00         |
| 63009    | UBS AG – HSI R Bear CBBC Jul 2009 U                             | 500,000,000  | 2009/04/28 | 2009/07/30 | 86.00          |
| 63521    | ABN AMRO Bank N.V. – CC Bank R Bear CBBC Sep 2009 A             | 80,000,000   | 2009/04/29 | 2009/09/25 | 20.00          |
| 63524    | ABN AMRO Bank N.V. – A50 China R Bull CBBC Sep 2009 C           | 100,000,000  | 2009/04/29 | 2009/09/25 | 26.90          |
| 63519    | ABN AMRO Bank N.V. – A50 China R Bear CBBC Sep 2009 A           | 100,000,000  | 2009/04/29 | 2009/09/25 | 25.00          |

# 主 板 可 收 回 牛 熊 證

| 股份<br>代號 | 牛熊證                                                            | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63520    | ABN AMRO Bank N.V. – A50 China R Bear CBBC Sep 2009 B          | 100,000,000  | 2009/04/29 | 2009/09/25 | 31.80          |
| 63537    | ABN AMRO Bank N.V. – HSI R Bear CBBC Aug 2009 H                | 250,000,000  | 2009/04/29 | 2009/08/28 | 62.50          |
| 63511    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Oct 2009 T       | 300,000,000  | 2009/04/29 | 2009/10/29 | 75.00          |
| 63538    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 J       | 300,000,000  | 2009/04/29 | 2009/12/30 | 75.00          |
| 63512    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 K       | 300,000,000  | 2009/04/29 | 2009/12/30 | 75.00          |
| 63539    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 L       | 300,000,000  | 2009/04/29 | 2009/12/30 | 75.00          |
| 63540    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 M       | 300,000,000  | 2009/04/29 | 2009/12/30 | 75.00          |
| 63541    | Deutsche Bank AG – China Life R Bear CBBC Sep 2009 J           | 150,000,000  | 2009/04/29 | 2009/09/21 | 37.50          |
| 63542    | Deutsche Bank AG – China Life R Bear CBBC Sep 2009 K           | 150,000,000  | 2009/04/29 | 2009/09/21 | 52.50          |
| 63543    | Deutsche Bank AG – HKEx R Bear CBBC Oct 2009 E                 | 150,000,000  | 2009/04/29 | 2009/10/12 | 37.50          |
| 63545    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 O                  | 300,000,000  | 2009/04/29 | 2009/11/27 | 75.00          |
| 63544    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 S                  | 300,000,000  | 2009/04/29 | 2009/11/27 | 75.00          |
| 63546    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Nov 2009 H           | 200,000,000  | 2009/04/29 | 2009/11/27 | 50.00          |
| 63513    | SGA Societe Generale Acceptance NV – CHALCO R Bull CBBC Dec09A | 100,000,000  | 2009/04/29 | 2009/12/30 | 25.00          |
| 63522    | SGA Societe Generale Acceptance NV – CHALCO R Bull CBBC Dec09C | 100,000,000  | 2009/04/29 | 2009/12/30 | 25.00          |
| 63516    | SGA Societe Generale Acceptance NV – CHALCO R Bear CBBC Dec09B | 100,000,000  | 2009/04/29 | 2009/12/30 | 26.00          |
| 63526    | SGA Societe Generale Acceptance NV – CHALCO R Bear CBBC Dec09D | 100,000,000  | 2009/04/29 | 2009/12/30 | 25.00          |
| 63514    | SGA Societe Generale Acceptance NV – BOC HK R Bull CBBC Dec09A | 100,000,000  | 2009/04/29 | 2009/12/30 | 42.00          |
| 63523    | SGA Societe Generale Acceptance NV – BOC HK R Bull CBBC Dec09C | 100,000,000  | 2009/04/29 | 2009/12/30 | 29.00          |
| 63517    | SGA Societe Generale Acceptance NV – BOC HK R Bear CBBC Dec09B | 100,000,000  | 2009/04/29 | 2009/12/30 | 45.00          |
| 63527    | SGA Societe Generale Acceptance NV – BOC HK R Bear CBBC Dec09D | 100,000,000  | 2009/04/29 | 2009/12/30 | 32.00          |
| 63503    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09A  | 300,000,000  | 2009/04/29 | 2009/11/27 | 75.00          |
| 63504    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09B  | 300,000,000  | 2009/04/29 | 2009/11/27 | 75.00          |
| 63505    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09C  | 300,000,000  | 2009/04/29 | 2009/11/27 | 75.00          |
| 63506    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09D  | 300,000,000  | 2009/04/29 | 2009/11/27 | 75.00          |
| 63507    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09E  | 300,000,000  | 2009/04/29 | 2009/11/27 | 75.00          |
| 63508    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09F  | 300,000,000  | 2009/04/29 | 2009/11/27 | 75.00          |
| 63509    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09G  | 300,000,000  | 2009/04/29 | 2009/11/27 | 75.00          |
| 63510    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09H  | 300,000,000  | 2009/04/29 | 2009/11/27 | 75.00          |
| 63515    | SGA Societe Generale Acceptance NV – JiangC R Bull CBBC Dec09A | 100,000,000  | 2009/04/29 | 2009/12/30 | 38.00          |
| 63525    | SGA Societe Generale Acceptance NV – JiangC R Bull CBBC Dec09C | 100,000,000  | 2009/04/29 | 2009/12/30 | 28.00          |
| 63518    | SGA Societe Generale Acceptance NV – JiangC R Bear CBBC Dec09B | 100,000,000  | 2009/04/29 | 2009/12/30 | 43.00          |
| 63528    | SGA Societe Generale Acceptance NV – JiangC R Bear CBBC Dec09D | 100,000,000  | 2009/04/29 | 2009/12/30 | 28.00          |
| 63529    | UBS AG – China Mobile R Bear CBBC Nov 2009 J                   | 300,000,000  | 2009/04/29 | 2009/11/16 | 75.00          |
| 63535    | UBS AG – China Life R Bear CBBC Nov 2009 P                     | 300,000,000  | 2009/04/29 | 2009/11/16 | 75.00          |
| 63536    | UBS AG – CNOOC R Bear CBBC Nov 2009 B                          | 200,000,000  | 2009/04/29 | 2009/11/23 | 50.00          |
| 63533    | UBS AG – A50 China R Bear CBBC Nov 2009 O                      | 300,000,000  | 2009/04/29 | 2009/11/23 | 75.00          |
| 63532    | UBS AG – HSCEI R Bull CBBC Nov 2009 E                          | 200,000,000  | 2009/04/29 | 2009/11/27 | 50.00          |
| 63530    | UBS AG – HSI R Bull CBBC Oct 2009 O                            | 400,000,000  | 2009/04/29 | 2009/10/29 | 100.00         |
| 63531    | UBS AG – HSI R Bull CBBC Dec 2009 V                            | 400,000,000  | 2009/04/29 | 2009/12/30 | 100.00         |
| 63534    | UBS AG – HSI R Bear CBBC Oct 2009 C                            | 400,000,000  | 2009/04/29 | 2009/10/29 | 100.00         |
| 63554    | Deutsche Bank AG – HSI R Bull CBBC Nov 2009 A                  | 300,000,000  | 2009/04/30 | 2009/11/27 | 78.00          |
| 63556    | Deutsche Bank AG – HSI R Bull CBBC Nov 2009 D                  | 300,000,000  | 2009/04/30 | 2009/11/27 | 75.00          |
| 63559    | Deutsche Bank AG – HSI R Bull CBBC Nov 2009 E                  | 300,000,000  | 2009/04/30 | 2009/11/27 | 75.00          |
| 63558    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 I                  | 300,000,000  | 2009/04/30 | 2009/11/27 | 81.00          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63548    | CC Rabobank B.A. – HSI R Bull CBBC Jan 2010 A                   | 150,000,000  | 2009/04/30 | 2010/01/28 | 37.50          |
| 63549    | CC Rabobank B.A. – HSI R Bull CBBC Jan 2010 B                   | 150,000,000  | 2009/04/30 | 2010/01/28 | 37.50          |
| 63550    | CC Rabobank B.A. – HSI R Bull CBBC Jan 2010 C                   | 150,000,000  | 2009/04/30 | 2010/01/28 | 42.00          |
| 63553    | CC Rabobank B.A. – HSI R Bull CBBC Jan 2010 D                   | 150,000,000  | 2009/04/30 | 2010/01/28 | 37.50          |
| 63557    | CC Rabobank B.A. – HSI R Bear CBBC Jan 2010 E                   | 150,000,000  | 2009/04/30 | 2010/01/28 | 45.00          |
| 63555    | SGA Societe Generale Acceptance N.V. – A50 R Bear CBBC Dec09B   | 200,000,000  | 2009/04/30 | 2009/12/23 | 50.00          |
| 63547    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09I   | 300,000,000  | 2009/04/30 | 2009/11/27 | 75.00          |
| 63551    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09J   | 300,000,000  | 2009/04/30 | 2009/11/27 | 75.00          |
| 63552    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09K   | 300,000,000  | 2009/04/30 | 2009/11/27 | 75.00          |
| 63560    | ABN AMRO Bank N.V. – HSCEI R Bear CBBC Sep 2009 D               | 250,000,000  | 2009/05/04 | 2009/09/29 | 62.50          |
| 63561    | ABN AMRO Bank N.V. – HSCEI R Bear CBBC Sep 2009 E               | 250,000,000  | 2009/05/04 | 2009/09/29 | 62.50          |
| 63562    | ABN AMRO Bank N.V. – HSCEI R Bear CBBC Sep 2009 F               | 250,000,000  | 2009/05/04 | 2009/09/29 | 62.50          |
| 63563    | ABN AMRO Bank N.V. – HSI R Bear CBBC Sep 2009 A                 | 250,000,000  | 2009/05/04 | 2009/09/29 | 62.50          |
| 63566    | SGA Societe Generale Acceptance N.V. – CMob R Bull CBBC Dec09C  | 200,000,000  | 2009/05/04 | 2009/12/23 | 50.00          |
| 63565    | SGA Societe Generale Acceptance N.V. – CLife R Bear CBBC Dec09G | 100,000,000  | 2009/05/04 | 2009/12/23 | 25.00          |
| 63564    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09L   | 300,000,000  | 2009/05/04 | 2009/11/27 | 75.00          |
| 63568    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09M   | 300,000,000  | 2009/05/04 | 2009/11/27 | 75.00          |
| 63569    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09N   | 300,000,000  | 2009/05/04 | 2009/11/27 | 75.00          |
| 63570    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09O   | 300,000,000  | 2009/05/04 | 2009/11/27 | 75.00          |
| 63567    | SGA Societe Generale Acceptance N.V. – ICBC R Bear CBBC Dec09A  | 200,000,000  | 2009/05/04 | 2009/12/09 | 50.00          |
| 63571    | UBS AG – HSI R Bear CBBC Apr 2010 A                             | 400,000,000  | 2009/05/04 | 2010/04/29 | 100.00         |
| 63572    | UBS AG – HSI R Bear CBBC Apr 2010 B                             | 400,000,000  | 2009/05/04 | 2010/04/29 | 100.00         |
| 63573    | UBS AG – HSI R Bear CBBC Apr 2010 C                             | 400,000,000  | 2009/05/04 | 2010/04/29 | 126.00         |
| 63574    | UBS AG – HSI R Bear CBBC Apr 2010 D                             | 400,000,000  | 2009/05/04 | 2010/04/29 | 100.00         |
| 63575    | UBS AG – HSI R Bear CBBC Apr 2010 E                             | 400,000,000  | 2009/05/04 | 2010/04/29 | 150.00         |
| 63576    | UBS AG – HSI R Bear CBBC Apr 2010 F                             | 400,000,000  | 2009/05/04 | 2010/04/29 | 252.00         |
| 63592    | ABN AMRO Bank N.V. – HSI R Bear CBBC Sep 2009 B                 | 250,000,000  | 2009/05/05 | 2009/09/29 | 62.50          |
| 63593    | ABN AMRO Bank N.V. – HSI R Bear CBBC Sep 2009 C                 | 250,000,000  | 2009/05/05 | 2009/09/29 | 62.50          |
| 63594    | Deutsche Bank AG – China Mobile R Bear CBBC Oct 2009 E          | 150,000,000  | 2009/05/05 | 2009/10/12 | 37.50          |
| 63584    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 Y                   | 300,000,000  | 2009/05/05 | 2009/12/30 | 75.00          |
| 63587    | KBC Fin Products Int'l Ltd. – Ch Mobile R Bear CBBC Oct 09 C    | 258,000,000  | 2009/05/05 | 2009/10/16 | 64.50          |
| 63585    | KBC Fin Products Int'l Ltd. – CC Bank R Bear CBBC Sep 2009 B    | 218,000,000  | 2009/05/05 | 2009/09/15 | 54.50          |
| 63586    | KBC Fin Products Int'l Ltd. – Ch Life R Bear CBBC Aug 2009 H    | 168,000,000  | 2009/05/05 | 2009/08/14 | 43.68          |
| 63588    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Sep 2009 E       | 288,000,000  | 2009/05/05 | 2009/09/18 | 72.00          |
| 63578    | KBC Fin Products Int'l Ltd. – HSCEI R Bear CBBC Nov 2009 B      | 208,000,000  | 2009/05/05 | 2009/11/27 | 58.24          |
| 63580    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Aug 2009 M        | 208,000,000  | 2009/05/05 | 2009/08/28 | 76.96          |
| 63579    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Sep 2009 Q        | 208,000,000  | 2009/05/05 | 2009/09/29 | 52.00          |
| 63583    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 V        | 248,000,000  | 2009/05/05 | 2009/09/29 | 62.00          |
| 63581    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 K        | 208,000,000  | 2009/05/05 | 2009/10/29 | 52.00          |
| 63582    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 O        | 208,000,000  | 2009/05/05 | 2009/10/29 | 52.00          |
| 63589    | UBS AG – CM Bank R Bear CBBC Jan 2010 C                         | 200,000,000  | 2009/05/05 | 2010/01/25 | 68.00          |
| 63590    | UBS AG – China Shenhua R Bear CBBC Jan 2010 C                   | 200,000,000  | 2009/05/05 | 2010/01/25 | 78.00          |
| 63577    | UBS AG – HSI R Bull CBBC Dec 2009 W                             | 400,000,000  | 2009/05/05 | 2009/12/30 | 100.00         |
| 63591    | UBS AG – ICBC R Bear CBBC Jan 2010 C                            | 200,000,000  | 2009/05/05 | 2010/01/25 | 50.00          |
| 63409    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 P                   | 300,000,000  | 2009/05/05 | 2009/10/29 | 35.10          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63369    | UBS AG – HSI R Bear CBBC Oct 2009 H                             | 500,000,000  | 2009/05/05 | 2009/10/29 | 99.50          |
| 63633    | ABN AMRO Bank N.V. – HSI R Bear CBBC Sep 2009 D                 | 250,000,000  | 2009/05/06 | 2009/09/29 | 62.50          |
| 63627    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 F        | 300,000,000  | 2009/05/06 | 2009/12/30 | 75.00          |
| 63626    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 N        | 300,000,000  | 2009/05/06 | 2009/12/30 | 75.00          |
| 63629    | Deutsche Bank AG – Sinopec Corp R Bear CBBC Oct 2009 B          | 150,000,000  | 2009/05/06 | 2009/10/19 | 37.50          |
| 63630    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 Z                   | 300,000,000  | 2009/05/06 | 2009/12/30 | 75.00          |
| 63631    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 L                   | 300,000,000  | 2009/05/06 | 2010/01/28 | 78.00          |
| 63632    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 M                   | 300,000,000  | 2009/05/06 | 2010/01/28 | 102.00         |
| 63628    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Nov 2009 I            | 200,000,000  | 2009/05/06 | 2009/11/27 | 50.00          |
| 63600    | HK Bank – China Mobile R Bull CBBC Nov 2009 A                   | 150,000,000  | 2009/05/06 | 2009/11/18 | 37.50          |
| 63605    | HK Bank – China Mobile R Bear CBBC Sep 2009 A                   | 150,000,000  | 2009/05/06 | 2009/09/28 | 37.50          |
| 63597    | HK Bank – CC Bank R Bull CBBC Dec 2009 A                        | 150,000,000  | 2009/05/06 | 2009/12/18 | 37.50          |
| 63603    | HK Bank – CC Bank R Bear CBBC Dec 2009 B                        | 150,000,000  | 2009/05/06 | 2009/12/18 | 37.50          |
| 63598    | HK Bank – China Life R Bull CBBC Nov 2009 A                     | 150,000,000  | 2009/05/06 | 2009/11/18 | 66.00          |
| 63604    | HK Bank – China Life R Bear CBBC Sep 2009 A                     | 150,000,000  | 2009/05/06 | 2009/09/18 | 66.00          |
| 63601    | HK Bank – Sinopec Corp R Bull CBBC Nov 2009 A                   | 150,000,000  | 2009/05/06 | 2009/11/18 | 37.50          |
| 63606    | HK Bank – Sinopec Corp R Bear CBBC Nov 2009 B                   | 150,000,000  | 2009/05/06 | 2009/11/18 | 37.50          |
| 63602    | HK Bank – HKEx R Bull CBBC Oct 2009 A                           | 150,000,000  | 2009/05/06 | 2009/10/28 | 37.50          |
| 63607    | HK Bank – HKEx R Bear CBBC Aug 2009 A                           | 150,000,000  | 2009/05/06 | 2009/08/28 | 37.50          |
| 63611    | KBC Fin Products Int'l Ltd. – Ch Life R Bear CBBC Sep 2009 J    | 168,000,000  | 2009/05/06 | 2009/09/01 | 42.00          |
| 63612    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Nov 2009 B       | 288,000,000  | 2009/05/06 | 2009/11/05 | 72.00          |
| 63609    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 T        | 208,000,000  | 2009/05/06 | 2009/09/29 | 52.00          |
| 63610    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 P        | 248,000,000  | 2009/05/06 | 2009/10/29 | 62.00          |
| 63625    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 Z        | 208,000,000  | 2009/05/06 | 2009/10/29 | 52.00          |
| 63608    | SGA Societe Generale Acceptance N.V. – CLife R Bear CBBC Dec09H | 100,000,000  | 2009/05/06 | 2009/12/16 | 29.00          |
| 63595    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09P   | 300,000,000  | 2009/05/06 | 2009/11/27 | 75.00          |
| 63596    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09Q   | 300,000,000  | 2009/05/06 | 2009/11/27 | 75.00          |
| 63599    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09R   | 300,000,000  | 2009/05/06 | 2009/11/27 | 75.00          |
| 63614    | UBS AG – China Life R Bear CBBC Nov 2009 Q                      | 300,000,000  | 2009/05/06 | 2009/11/16 | 75.00          |
| 63615    | UBS AG – CM Bank R Bear CBBC Jan 2010 D                         | 200,000,000  | 2009/05/06 | 2010/01/25 | 66.00          |
| 63616    | UBS AG – HKEx R Bear CBBC Nov 2009 H                            | 300,000,000  | 2009/05/06 | 2009/11/23 | 75.00          |
| 63619    | UBS AG – HSCEI R Bear CBBC Nov 2009 F                           | 200,000,000  | 2009/05/06 | 2009/11/27 | 50.00          |
| 63620    | UBS AG – HSCEI R Bear CBBC Nov 2009 G                           | 200,000,000  | 2009/05/06 | 2009/11/27 | 50.00          |
| 63613    | UBS AG – HSI R Bull CBBC Dec 2009 X                             | 400,000,000  | 2009/05/06 | 2009/12/30 | 100.00         |
| 63623    | UBS AG – HSI R Bear CBBC Dec 2009 M                             | 400,000,000  | 2009/05/06 | 2009/12/30 | 100.00         |
| 63624    | UBS AG – HSI R Bear CBBC Dec 2009 N                             | 400,000,000  | 2009/05/06 | 2009/12/30 | 100.00         |
| 63621    | UBS AG – HSI R Bear CBBC Dec 2009 Y                             | 400,000,000  | 2009/05/06 | 2009/12/30 | 100.00         |
| 63622    | UBS AG – HSI R Bear CBBC Dec 2009 Z                             | 400,000,000  | 2009/05/06 | 2009/12/30 | 100.00         |
| 63617    | UBS AG – Ping An R Bear CBBC Jan 2010 C                         | 200,000,000  | 2009/05/06 | 2010/01/25 | 50.00          |
| 63618    | UBS AG – SHK Ppt R Bear CBBC Jan 2010 G                         | 200,000,000  | 2009/05/06 | 2010/01/25 | 50.00          |
| 63136    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09Q   | 300,000,000  | 2009/05/06 | 2009/10/29 | 45.00          |
| 63137    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09R   | 300,000,000  | 2009/05/06 | 2009/10/29 | 42.60          |
| 63648    | BNP Paribas Arbit Issu B.V. – A50 R Bear CBBC Dec 2009 A        | 200,000,000  | 2009/05/07 | 2009/12/30 | 80.00          |
| 63647    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2009 D        | 300,000,000  | 2009/05/07 | 2009/11/27 | 75.00          |
| 63646    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2009 Z        | 300,000,000  | 2009/05/07 | 2009/11/27 | 75.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                            | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63643    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 I                  | 300,000,000  | 2009/05/07 | 2009/12/30 | 81.00          |
| 63644    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 O                  | 300,000,000  | 2009/05/07 | 2009/12/30 | 78.00          |
| 63650    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 N                  | 300,000,000  | 2009/05/07 | 2010/01/28 | 75.00          |
| 63654    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 O                  | 300,000,000  | 2009/05/07 | 2010/01/28 | 79.50          |
| 63649    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Nov 2009 J           | 200,000,000  | 2009/05/07 | 2009/11/27 | 50.00          |
| 63635    | HK Bank – HSI R Bear CBBC Nov 2009 F                           | 380,000,000  | 2009/05/07 | 2009/11/27 | 95.00          |
| 63636    | HK Bank – HSI R Bear CBBC Nov 2009 G                           | 380,000,000  | 2009/05/07 | 2009/11/27 | 95.00          |
| 63637    | HK Bank – HSI R Bear CBBC Nov 2009 H                           | 380,000,000  | 2009/05/07 | 2009/11/27 | 95.00          |
| 63641    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 U       | 208,000,000  | 2009/05/07 | 2009/10/29 | 52.00          |
| 63634    | Macquarie Bank Ltd. – HSI R Bear CBBC Nov 2009 A               | 300,000,000  | 2009/05/07 | 2009/11/27 | 75.00          |
| 63640    | SGA Societe Generale Acceptance N.V. – CMB R Bear CBBC Dec 09C | 100,000,000  | 2009/05/07 | 2009/12/16 | 42.00          |
| 63638    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09S  | 300,000,000  | 2009/05/07 | 2009/11/27 | 75.00          |
| 63639    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09T  | 300,000,000  | 2009/05/07 | 2009/11/27 | 75.00          |
| 63642    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09U  | 300,000,000  | 2009/05/07 | 2009/11/27 | 75.00          |
| 63645    | UBS AG – HSI R Bull CBBC Nov 2009 I                            | 400,000,000  | 2009/05/07 | 2009/11/27 | 100.00         |
| 63678    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 A                | 250,000,000  | 2009/05/08 | 2009/11/27 | 62.50          |
| 63679    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 B                | 250,000,000  | 2009/05/08 | 2009/11/27 | 62.50          |
| 63680    | ABN AMRO Bank N.V. – HSI R Bear CBBC Sep 2009 E                | 250,000,000  | 2009/05/08 | 2009/09/29 | 62.50          |
| 63681    | ABN AMRO Bank N.V. – HSI R Bear CBBC Sep 2009 F                | 250,000,000  | 2009/05/08 | 2009/09/29 | 62.50          |
| 63669    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2009 E       | 300,000,000  | 2009/05/08 | 2009/11/27 | 75.00          |
| 63670    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2009 F       | 300,000,000  | 2009/05/08 | 2009/11/27 | 75.00          |
| 63671    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2009 G       | 300,000,000  | 2009/05/08 | 2009/11/27 | 75.00          |
| 63675    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 B       | 300,000,000  | 2009/05/08 | 2009/12/30 | 75.00          |
| 63674    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 H       | 300,000,000  | 2009/05/08 | 2009/12/30 | 75.00          |
| 63688    | Deutsche Bank AG – China Life R Bull CBBC Oct 2009 A           | 150,000,000  | 2009/05/08 | 2009/10/12 | 45.00          |
| 63690    | Deutsche Bank AG – HKEx R Bear CBBC Oct 2009 F                 | 150,000,000  | 2009/05/08 | 2009/10/12 | 37.50          |
| 63662    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 P                  | 300,000,000  | 2009/05/08 | 2010/01/28 | 75.00          |
| 63691    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 R                  | 300,000,000  | 2009/05/08 | 2010/01/28 | 81.00          |
| 63692    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 S                  | 300,000,000  | 2009/05/08 | 2010/01/28 | 75.00          |
| 63666    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 Q                  | 300,000,000  | 2009/05/08 | 2010/01/28 | 90.00          |
| 63676    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Nov 2009 K           | 200,000,000  | 2009/05/08 | 2009/11/27 | 50.00          |
| 63677    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Nov 2009 L           | 200,000,000  | 2009/05/08 | 2009/11/27 | 50.00          |
| 63682    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 F       | 208,000,000  | 2009/05/08 | 2009/10/29 | 52.00          |
| 63683    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 S       | 248,000,000  | 2009/05/08 | 2009/11/27 | 62.00          |
| 63684    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 T       | 208,000,000  | 2009/05/08 | 2009/11/27 | 52.00          |
| 63685    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 U       | 208,000,000  | 2009/05/08 | 2009/11/27 | 52.00          |
| 63663    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 R       | 208,000,000  | 2009/05/08 | 2009/09/29 | 52.00          |
| 63651    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 L       | 248,000,000  | 2009/05/08 | 2009/10/29 | 62.00          |
| 63686    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 M       | 208,000,000  | 2009/05/08 | 2009/10/29 | 52.00          |
| 63689    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 V       | 248,000,000  | 2009/05/08 | 2009/11/27 | 62.00          |
| 63658    | Macquarie Bank Ltd. – HSI R Bull CBBC Nov 2009 B               | 300,000,000  | 2009/05/08 | 2009/11/27 | 75.00          |
| 63661    | Macquarie Bank Ltd. – HSI R Bull CBBC Nov 2009 C               | 300,000,000  | 2009/05/08 | 2009/11/27 | 75.00          |
| 63652    | SGA Societe Generale Acceptance N.V. – CTel R Bull CBBC Dec09B | 200,000,000  | 2009/05/08 | 2009/12/23 | 50.00          |
| 63653    | SGA Societe Generale Acceptance N.V. – CUni R Bull CBBC Dec09B | 100,000,000  | 2009/05/08 | 2009/12/23 | 25.00          |
| 63655    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09I  | 300,000,000  | 2009/05/08 | 2009/10/29 | 75.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                           | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|---------------------------------------------------------------|--------------|------------|------------|----------------|
| 63659    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09K | 300,000,000  | 2009/05/08 | 2009/10/29 | 75.00          |
| 63660    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09P | 300,000,000  | 2009/05/08 | 2009/10/29 | 75.00          |
| 63687    | UBS AG – HKEx R Bull CBBC Nov 2009 I                          | 300,000,000  | 2009/05/08 | 2009/11/23 | 75.00          |
| 63665    | UBS AG – HSCEI R Bull CBBC Nov 2009 H                         | 200,000,000  | 2009/05/08 | 2009/11/27 | 50.00          |
| 63667    | UBS AG – HSCEI R Bull CBBC Nov 2009 I                         | 200,000,000  | 2009/05/08 | 2009/11/27 | 50.00          |
| 63664    | UBS AG – HSI R Bull CBBC Dec 2009 E                           | 400,000,000  | 2009/05/08 | 2009/12/30 | 100.00         |
| 63672    | UBS AG – HSI R Bull CBBC Dec 2009 R                           | 400,000,000  | 2009/05/08 | 2009/12/30 | 100.00         |
| 63673    | UBS AG – HSI R Bull CBBC Dec 2009 S                           | 400,000,000  | 2009/05/08 | 2009/12/30 | 100.00         |
| 63668    | UBS AG – HSI R Bear CBBC Dec 2009 L                           | 400,000,000  | 2009/05/08 | 2009/12/30 | 100.00         |
| 63656    | UBS AG – HSI R Bear CBBC Dec 2009 O                           | 400,000,000  | 2009/05/08 | 2009/12/30 | 100.00         |
| 63657    | UBS AG – HSI R Bear CBBC Dec 2009 Q                           | 400,000,000  | 2009/05/08 | 2009/12/30 | 100.00         |
| 63766    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 C               | 250,000,000  | 2009/05/11 | 2009/11/27 | 62.50          |
| 63767    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 D               | 250,000,000  | 2009/05/11 | 2009/11/27 | 62.50          |
| 63768    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 E               | 250,000,000  | 2009/05/11 | 2009/11/27 | 62.50          |
| 63772    | ABN AMRO Bank N.V. – HSI R Bear CBBC Sep 2009 G               | 250,000,000  | 2009/05/11 | 2009/09/29 | 62.50          |
| 63773    | ABN AMRO Bank N.V. – HSI R Bear CBBC Sep 2009 H               | 250,000,000  | 2009/05/11 | 2009/09/29 | 62.50          |
| 63774    | ABN AMRO Bank N.V. – HSI R Bear CBBC Sep 2009 I               | 250,000,000  | 2009/05/11 | 2009/09/29 | 62.50          |
| 63775    | ABN AMRO Bank N.V. – HSI R Bear CBBC Sep 2009 J               | 250,000,000  | 2009/05/11 | 2009/09/29 | 62.50          |
| 63776    | ABN AMRO Bank N.V. – HSI R Bear CBBC Sep 2009 K               | 250,000,000  | 2009/05/11 | 2009/09/29 | 62.50          |
| 63729    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 O      | 300,000,000  | 2009/05/11 | 2009/12/30 | 75.00          |
| 63731    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 P      | 300,000,000  | 2009/05/11 | 2009/12/30 | 75.00          |
| 63730    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 R      | 300,000,000  | 2009/05/11 | 2009/12/30 | 75.00          |
| 63723    | Deutsche Bank AG – CC Bank R Bull CBBC Dec 2009 A             | 150,000,000  | 2009/05/11 | 2009/12/14 | 37.50          |
| 63724    | Deutsche Bank AG – China Life R Bull CBBC Oct 2009 B          | 150,000,000  | 2009/05/11 | 2009/10/12 | 45.00          |
| 63727    | Deutsche Bank AG – A50 China R Bull CBBC Oct 2009 A           | 150,000,000  | 2009/05/11 | 2009/10/19 | 37.50          |
| 63725    | Deutsche Bank AG – HKEx R Bull CBBC Oct 2009 G                | 150,000,000  | 2009/05/11 | 2009/10/12 | 37.50          |
| 63728    | Deutsche Bank AG – HKEx R Bear CBBC Oct 2009 H                | 150,000,000  | 2009/05/11 | 2009/10/19 | 46.50          |
| 63754    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 C                 | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63717    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 T                 | 300,000,000  | 2009/05/11 | 2010/01/28 | 81.00          |
| 63718    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 U                 | 300,000,000  | 2009/05/11 | 2010/01/28 | 78.00          |
| 63719    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 V                 | 300,000,000  | 2009/05/11 | 2010/01/28 | 78.00          |
| 63720    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 W                 | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63753    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 Z                 | 300,000,000  | 2009/05/11 | 2010/01/28 | 78.00          |
| 63721    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 X                 | 300,000,000  | 2009/05/11 | 2010/01/28 | 93.00          |
| 63722    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 Y                 | 300,000,000  | 2009/05/11 | 2010/01/28 | 129.00         |
| 63726    | Deutsche Bank AG – ICBC R Bull CBBC Oct 2009 C                | 150,000,000  | 2009/05/11 | 2009/10/19 | 37.50          |
| 63769    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Nov 2009 M          | 200,000,000  | 2009/05/11 | 2009/11/27 | 50.00          |
| 63770    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Nov 2009 N          | 200,000,000  | 2009/05/11 | 2009/11/27 | 50.00          |
| 63777    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Nov 2009 O          | 200,000,000  | 2009/05/11 | 2009/11/27 | 50.00          |
| 63762    | KBC Fin Products Int'l Ltd. – Ch Mobile R Bull CBBC Nov 09 A  | 268,000,000  | 2009/05/11 | 2009/11/05 | 67.00          |
| 63761    | KBC Fin Products Int'l Ltd. – China Life R Bull CBBC Sep09K   | 128,000,000  | 2009/05/11 | 2009/09/15 | 98.56          |
| 63763    | KBC Fin Products Int'l Ltd. – HKEx R Bull CBBC Oct 2009 F     | 148,000,000  | 2009/05/11 | 2009/10/05 | 47.36          |
| 63764    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Aug 2009 E     | 168,000,000  | 2009/05/11 | 2009/08/12 | 43.68          |
| 63765    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Sep 2009 F     | 188,000,000  | 2009/05/11 | 2009/09/15 | 69.00          |
| 63698    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Nov 2009 C     | 148,000,000  | 2009/05/11 | 2009/11/02 | 54.76          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63699    | KBC Fin Products Int'l Ltd. – HSBC R Bear CBBC Dec 2009 B       | 188,000,000  | 2009/05/11 | 2009/12/01 | 47.00          |
| 63757    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Aug 2009 L        | 258,000,000  | 2009/05/11 | 2009/08/28 | 72.24          |
| 63758    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Aug 2009 P        | 328,000,000  | 2009/05/11 | 2009/08/28 | 82.00          |
| 63759    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Dec 2009 G        | 188,000,000  | 2009/05/11 | 2009/12/30 | 47.00          |
| 63760    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Dec 2009 H        | 188,000,000  | 2009/05/11 | 2009/12/30 | 65.80          |
| 63732    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Aug 2009 A        | 248,000,000  | 2009/05/11 | 2009/08/28 | 64.48          |
| 63733    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Aug 2009 T        | 208,000,000  | 2009/05/11 | 2009/08/28 | 58.24          |
| 63695    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 P        | 208,000,000  | 2009/05/11 | 2009/09/29 | 52.00          |
| 63734    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 S        | 318,000,000  | 2009/05/11 | 2009/09/29 | 120.84         |
| 63696    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 I        | 248,000,000  | 2009/05/11 | 2009/10/29 | 69.44          |
| 63735    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 Q        | 318,000,000  | 2009/05/11 | 2009/10/29 | 95.40          |
| 63739    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 M        | 248,000,000  | 2009/05/11 | 2009/11/27 | 114.08         |
| 63697    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 W        | 318,000,000  | 2009/05/11 | 2009/11/27 | 79.50          |
| 63736    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 X        | 248,000,000  | 2009/05/11 | 2009/11/27 | 74.40          |
| 63737    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 Y        | 248,000,000  | 2009/05/11 | 2009/11/27 | 99.20          |
| 63738    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 Z        | 208,000,000  | 2009/05/11 | 2009/11/27 | 110.24         |
| 63740    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Dec 2009 F        | 318,000,000  | 2009/05/11 | 2009/12/30 | 79.50          |
| 63711    | SGA Societe Generale Acceptance N.V. – COVS R Bull CBBC Nov09A  | 100,000,000  | 2009/05/11 | 2009/11/30 | 32.00          |
| 63715    | SGA Societe Generale Acceptance N.V. – COVS R Bear CBBC Nov09B  | 100,000,000  | 2009/05/11 | 2009/11/30 | 51.00          |
| 63709    | SGA Societe Generale Acceptance N.V. – CCB R Bull CBBC Nov09D   | 100,000,000  | 2009/05/11 | 2009/11/30 | 25.00          |
| 63710    | SGA Societe Generale Acceptance N.V. – CLife R Bull CBBC Dec09I | 100,000,000  | 2009/05/11 | 2009/12/16 | 31.00          |
| 63712    | SGA Societe Generale Acceptance N.V. – CP&CC R Bull CBBC Dec09F | 100,000,000  | 2009/05/11 | 2009/12/23 | 25.00          |
| 63714    | SGA Societe Generale Acceptance N.V. – A50 R Bull CBBC Nov09B   | 100,000,000  | 2009/05/11 | 2009/11/30 | 25.00          |
| 63713    | SGA Societe Generale Acceptance N.V. – HKEx R Bull CBBC Dec09C  | 100,000,000  | 2009/05/11 | 2009/12/16 | 25.00          |
| 63716    | SGA Societe Generale Acceptance N.V. – HKEx R Bear CBBC Dec09D  | 100,000,000  | 2009/05/11 | 2009/12/16 | 25.00          |
| 63693    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09V   | 300,000,000  | 2009/05/11 | 2009/11/27 | 75.00          |
| 63694    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09W   | 300,000,000  | 2009/05/11 | 2009/11/27 | 75.00          |
| 63742    | UBS AG – China Mobile R Bull CBBC Dec 2009 F                    | 300,000,000  | 2009/05/11 | 2009/12/21 | 75.00          |
| 63741    | UBS AG – China Life R Bull CBBC Dec 2009 B                      | 300,000,000  | 2009/05/11 | 2009/12/21 | 102.00         |
| 63743    | UBS AG – CNOOC R Bull CBBC Dec 2009 F                           | 200,000,000  | 2009/05/11 | 2009/12/21 | 50.00          |
| 63745    | UBS AG – A50 China R Bull CBBC Dec 2009 K                       | 300,000,000  | 2009/05/11 | 2009/12/21 | 75.00          |
| 63744    | UBS AG – HKEx R Bull CBBC Dec 2009 D                            | 300,000,000  | 2009/05/11 | 2009/12/21 | 75.00          |
| 63755    | UBS AG – HSCEI R Bull CBBC Nov 2009 J                           | 200,000,000  | 2009/05/11 | 2009/11/27 | 50.00          |
| 63756    | UBS AG – HSCEI R Bull CBBC Nov 2009 K                           | 200,000,000  | 2009/05/11 | 2009/11/27 | 50.00          |
| 63703    | UBS AG – HSI R Bull CBBC Dec 2009 P                             | 300,000,000  | 2009/05/11 | 2009/12/30 | 75.00          |
| 63752    | UBS AG – HSI R Bull CBBC Dec 2009 U                             | 300,000,000  | 2009/05/11 | 2009/12/30 | 75.00          |
| 63702    | UBS AG – HSI R Bull CBBC Dec 2009 V                             | 300,000,000  | 2009/05/11 | 2009/12/30 | 75.00          |
| 63704    | UBS AG – HSI R Bull CBBC Jan 2010 A                             | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63705    | UBS AG – HSI R Bull CBBC Jan 2010 B                             | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63706    | UBS AG – HSI R Bull CBBC Jan 2010 C                             | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63707    | UBS AG – HSI R Bull CBBC Jan 2010 D                             | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63708    | UBS AG – HSI R Bull CBBC Jan 2010 E                             | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63701    | UBS AG – HSI R Bear CBBC Nov 2009 H                             | 300,000,000  | 2009/05/11 | 2009/11/27 | 75.00          |
| 63700    | UBS AG – HSI R Bear CBBC Nov 2009 J                             | 300,000,000  | 2009/05/11 | 2009/11/27 | 75.00          |
| 63746    | UBS AG – HSI R Bear CBBC Dec 2009 T                             | 300,000,000  | 2009/05/11 | 2009/12/30 | 75.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63747    | UBS AG – HSI R Bear CBBC Jan 2010 F                             | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63748    | UBS AG – HSI R Bear CBBC Jan 2010 G                             | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63749    | UBS AG – HSI R Bear CBBC Jan 2010 H                             | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63750    | UBS AG – HSI R Bear CBBC Jan 2010 I                             | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63751    | UBS AG – HSI R Bear CBBC Jan 2010 J                             | 300,000,000  | 2009/05/11 | 2010/01/28 | 75.00          |
| 63797    | ABN AMRO Bank N.V. – DJIA R Bull CBBC Sep 2009 H                | 40,000,000   | 2009/05/12 | 2009/09/18 | 20.28          |
| 63798    | ABN AMRO Bank N.V. – DJIA R Bull CBBC Sep 2009 I                | 40,000,000   | 2009/05/12 | 2009/09/18 | 22.84          |
| 63801    | ABN AMRO Bank N.V. – DJIA R Bear CBBC Sep 2009 J                | 40,000,000   | 2009/05/12 | 2009/09/18 | 16.48          |
| 63802    | ABN AMRO Bank N.V. – DJIA R Bear CBBC Sep 2009 K                | 40,000,000   | 2009/05/12 | 2009/09/18 | 21.44          |
| 63844    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 F                 | 250,000,000  | 2009/05/12 | 2009/11/27 | 62.50          |
| 63845    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 G                 | 250,000,000  | 2009/05/12 | 2009/11/27 | 62.50          |
| 63799    | ABN AMRO Bank N.V. – Nikkei 225 R Bull CBBC Sep 2009 E          | 80,000,000   | 2009/05/12 | 2009/09/11 | 20.08          |
| 63800    | ABN AMRO Bank N.V. – NQ100 R Bull CBBC Sep 2009 A               | 40,000,000   | 2009/05/12 | 2009/09/17 | 10.00          |
| 63803    | ABN AMRO Bank N.V. – NQ100 R Bear CBBC Sep 2009 B               | 40,000,000   | 2009/05/12 | 2009/09/17 | 11.16          |
| 63821    | ABN AMRO Bank N.V. – NQ100 R Bear CBBC Sep 2009 C               | 40,000,000   | 2009/05/12 | 2009/09/17 | 21.44          |
| 63841    | BNP Paribas Arbit Issu B.V. – HKEx R Bear CBBC Dec 2009 C       | 100,000,000  | 2009/05/12 | 2009/12/30 | 25.00          |
| 63843    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Nov 2009 B        | 300,000,000  | 2009/05/12 | 2009/11/27 | 75.00          |
| 63842    | BNP Paribas Arbit Issu B.V. – ICBC R Bear CBBC Dec 2009 A       | 100,000,000  | 2009/05/12 | 2009/12/30 | 25.00          |
| 63822    | Deutsche Bank AG – CNOOC R Bull CBBC Nov 2009 A                 | 150,000,000  | 2009/05/12 | 2009/11/02 | 37.50          |
| 63824    | Deutsche Bank AG – HKEx R Bear CBBC Oct 2009 I                  | 150,000,000  | 2009/05/12 | 2009/10/19 | 45.00          |
| 63825    | Deutsche Bank AG – HKEx R Bear CBBC Oct 2009 J                  | 150,000,000  | 2009/05/12 | 2009/10/19 | 67.50          |
| 63823    | Deutsche Bank AG – HSBC R Bull CBBC Oct 2009 A                  | 150,000,000  | 2009/05/12 | 2009/10/19 | 37.50          |
| 63846    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 G                   | 300,000,000  | 2009/05/12 | 2009/12/30 | 75.00          |
| 63847    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 P                   | 300,000,000  | 2009/05/12 | 2009/12/30 | 75.00          |
| 63848    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 D                   | 300,000,000  | 2009/05/12 | 2010/01/28 | 75.00          |
| 63806    | HK Bank – HSI R Bull CBBC Sep 2009 C                            | 200,000,000  | 2009/05/12 | 2009/09/29 | 50.00          |
| 63807    | HK Bank – HSI R Bull CBBC Sep 2009 D                            | 200,000,000  | 2009/05/12 | 2009/09/29 | 50.00          |
| 63808    | HK Bank – HSI R Bear CBBC Jan 2010 A                            | 380,000,000  | 2009/05/12 | 2010/01/28 | 95.00          |
| 63814    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Oct 2009 G       | 148,000,000  | 2009/05/12 | 2009/10/05 | 42.92          |
| 63815    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 V        | 268,000,000  | 2009/05/12 | 2009/09/29 | 69.68          |
| 63816    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 Y        | 238,000,000  | 2009/05/12 | 2009/09/29 | 64.26          |
| 63771    | Macquarie Bank Ltd. – HSI R Bull CBBC Nov 2009 D                | 300,000,000  | 2009/05/12 | 2009/11/27 | 75.00          |
| 63804    | Macquarie Bank Ltd. – HSI R Bear CBBC Oct 2009 F                | 300,000,000  | 2009/05/12 | 2009/10/29 | 75.30          |
| 63805    | Macquarie Bank Ltd. – HSI R Bear CBBC Nov 2009 E                | 300,000,000  | 2009/05/12 | 2009/11/27 | 75.90          |
| 63789    | SGA Societe Generale Acceptance N.V. – CTel R Bull CBBC Dec09C  | 150,000,000  | 2009/05/12 | 2009/12/23 | 37.50          |
| 63788    | SGA Societe Generale Acceptance N.V. – CCHC R Bull CBBC Dec09E  | 100,000,000  | 2009/05/12 | 2009/12/23 | 25.00          |
| 63787    | SGA Societe Generale Acceptance N.V. – CK(H) R Bull CBBC Dec09A | 100,000,000  | 2009/05/12 | 2009/12/16 | 25.00          |
| 63791    | SGA Societe Generale Acceptance N.V. – CK(H) R Bear CBBC Dec09B | 100,000,000  | 2009/05/12 | 2009/12/16 | 25.00          |
| 63790    | SGA Societe Generale Acceptance N.V. – CNOOC R Bull CBBC Dec09B | 100,000,000  | 2009/05/12 | 2009/12/16 | 25.00          |
| 63778    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09X   | 300,000,000  | 2009/05/12 | 2009/11/27 | 75.00          |
| 63779    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09Y   | 300,000,000  | 2009/05/12 | 2009/11/27 | 75.00          |
| 63780    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09A   | 300,000,000  | 2009/05/12 | 2009/12/30 | 75.00          |
| 63781    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09B   | 300,000,000  | 2009/05/12 | 2009/12/30 | 75.00          |
| 63783    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09D   | 300,000,000  | 2009/05/12 | 2009/11/27 | 75.00          |
| 63784    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09J   | 300,000,000  | 2009/05/12 | 2009/11/27 | 75.00          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                            | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63782    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09Z  | 300,000,000  | 2009/05/12 | 2009/11/27 | 75.00          |
| 63785    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09C  | 300,000,000  | 2009/05/12 | 2009/12/30 | 75.00          |
| 63786    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09D  | 300,000,000  | 2009/05/12 | 2009/12/30 | 75.00          |
| 63793    | SGA Societe Generale Acceptance N.V. – HWL R Bull CBBC Nov09A  | 150,000,000  | 2009/05/12 | 2009/11/30 | 37.50          |
| 63794    | SGA Societe Generale Acceptance N.V. – ICBC R Bull CBBC Dec09B | 150,000,000  | 2009/05/12 | 2009/12/09 | 37.50          |
| 63795    | SGA Societe Generale Acceptance NV – PingAn R Bull CBBC Dec09B | 150,000,000  | 2009/05/12 | 2009/12/16 | 37.50          |
| 63792    | SGA Societe Generale Acceptance N.V. – TCH R Bull CBBC Dec09E  | 100,000,000  | 2009/05/12 | 2009/12/16 | 25.00          |
| 63796    | SGA Societe Generale Acceptance N.V. – TCH R Bear CBBC Dec09F  | 100,000,000  | 2009/05/12 | 2009/12/16 | 25.00          |
| 63826    | UBS AG – CC Bank R Bull CBBC Dec 2009 E                        | 200,000,000  | 2009/05/12 | 2009/12/14 | 50.00          |
| 63827    | UBS AG – China Life R Bull CBBC Dec 2009 C                     | 300,000,000  | 2009/05/12 | 2009/12/21 | 82.50          |
| 63828    | UBS AG – CM Bank R Bull CBBC Jan 2010 E                        | 200,000,000  | 2009/05/12 | 2010/01/25 | 73.00          |
| 63830    | UBS AG – CNOOC R Bull CBBC Dec 2009 G                          | 200,000,000  | 2009/05/12 | 2009/12/14 | 50.00          |
| 63836    | UBS AG – CNOOC R Bear CBBC Dec 2009 H                          | 200,000,000  | 2009/05/12 | 2009/12/14 | 54.00          |
| 63829    | UBS AG – Sinopec Corp R Bull CBBC Dec 2009 A                   | 200,000,000  | 2009/05/12 | 2009/12/21 | 50.00          |
| 63835    | UBS AG – Sinopec Corp R Bear CBBC Dec 2009 B                   | 200,000,000  | 2009/05/12 | 2009/12/21 | 50.00          |
| 63831    | UBS AG – HKEx R Bull CBBC Dec 2009 E                           | 300,000,000  | 2009/05/12 | 2009/12/21 | 75.00          |
| 63837    | UBS AG – HKEx R Bear CBBC Dec 2009 F                           | 300,000,000  | 2009/05/12 | 2009/12/21 | 91.50          |
| 63832    | UBS AG – HSBC R Bull CBBC Dec 2009 I                           | 300,000,000  | 2009/05/12 | 2009/12/14 | 75.00          |
| 63820    | UBS AG – HSCEI R Bull CBBC Nov 2009 L                          | 200,000,000  | 2009/05/12 | 2009/11/27 | 50.00          |
| 63810    | UBS AG – HSI R Bull CBBC Jan 2010 K                            | 400,000,000  | 2009/05/12 | 2010/01/28 | 100.00         |
| 63811    | UBS AG – HSI R Bull CBBC Jan 2010 L                            | 400,000,000  | 2009/05/12 | 2010/01/28 | 100.00         |
| 63812    | UBS AG – HSI R Bull CBBC Jan 2010 M                            | 300,000,000  | 2009/05/12 | 2010/01/28 | 75.00          |
| 63813    | UBS AG – HSI R Bull CBBC Jan 2010 N                            | 300,000,000  | 2009/05/12 | 2010/01/28 | 75.00          |
| 63809    | UBS AG – HSI R Bull CBBC Jan 2010 O                            | 400,000,000  | 2009/05/12 | 2010/01/28 | 100.00         |
| 63840    | UBS AG – HSI R Bull CBBC Jan 2010 S                            | 300,000,000  | 2009/05/12 | 2010/01/28 | 75.00          |
| 63817    | UBS AG – HSI R Bear CBBC Jan 2010 P                            | 300,000,000  | 2009/05/12 | 2010/01/28 | 75.00          |
| 63818    | UBS AG – HSI R Bear CBBC Jan 2010 Q                            | 400,000,000  | 2009/05/12 | 2010/01/28 | 100.00         |
| 63819    | UBS AG – HSI R Bear CBBC Jan 2010 R                            | 400,000,000  | 2009/05/12 | 2010/01/28 | 100.00         |
| 63833    | UBS AG – ICBC R Bull CBBC Jan 2010 D                           | 200,000,000  | 2009/05/12 | 2010/01/25 | 50.00          |
| 63838    | UBS AG – ICBC R Bear CBBC Jan 2010 E                           | 200,000,000  | 2009/05/12 | 2010/01/25 | 50.00          |
| 63834    | UBS AG – Petrochina R Bull CBBC Dec 2009 B                     | 200,000,000  | 2009/05/12 | 2009/12/21 | 50.00          |
| 63839    | UBS AG – Petrochina R Bear CBBC Dec 2009 C                     | 200,000,000  | 2009/05/12 | 2009/12/21 | 55.00          |
| 63423    | Macquarie Bank Ltd. – HSI R Bear CBBC Aug 2009 A               | 300,000,000  | 2009/05/12 | 2009/08/28 | 33.30          |
| 63878    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 H                | 250,000,000  | 2009/05/13 | 2009/11/27 | 62.50          |
| 63879    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 I                | 250,000,000  | 2009/05/13 | 2009/11/27 | 62.50          |
| 63880    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 J                | 250,000,000  | 2009/05/13 | 2009/11/27 | 62.50          |
| 63881    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 K                | 250,000,000  | 2009/05/13 | 2009/11/27 | 62.50          |
| 63882    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 L                | 250,000,000  | 2009/05/13 | 2009/11/27 | 62.50          |
| 63887    | BNP Paribas Arbit Issu B.V. – CC Bank R Bear CBBC Nov 2009 C   | 100,000,000  | 2009/05/13 | 2009/11/30 | 25.00          |
| 63886    | BNP Paribas Arbit Issu B.V. – A50 Ch R Bull CBBC Nov 2009 E    | 100,000,000  | 2009/05/13 | 2009/11/30 | 25.00          |
| 63888    | BNP Paribas Arbit Issu B.V. – HKEx R Bear CBBC Nov 2009 C      | 100,000,000  | 2009/05/13 | 2009/11/30 | 25.00          |
| 63883    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 Q       | 300,000,000  | 2009/05/13 | 2009/12/30 | 75.00          |
| 63884    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Dec 2009 T       | 300,000,000  | 2009/05/13 | 2009/12/30 | 75.00          |
| 63885    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 E       | 300,000,000  | 2009/05/13 | 2010/01/28 | 75.00          |
| 63889    | Deutsche Bank AG – China Life R Bull CBBC Oct 2009 C           | 150,000,000  | 2009/05/13 | 2009/10/19 | 37.50          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                            | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63891    | Deutsche Bank AG – HKEx R Bull CBBC Oct 2009 K                 | 150,000,000  | 2009/05/13 | 2009/10/19 | 37.50          |
| 63890    | Deutsche Bank AG – HSBC R Bear CBBC Oct 2009 B                 | 150,000,000  | 2009/05/13 | 2009/10/27 | 37.50          |
| 63853    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 J                  | 300,000,000  | 2009/05/13 | 2009/12/30 | 81.00          |
| 63854    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 Q                  | 300,000,000  | 2009/05/13 | 2009/12/30 | 75.00          |
| 63871    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 I                  | 300,000,000  | 2009/05/13 | 2010/01/28 | 78.00          |
| 63872    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 L                  | 300,000,000  | 2009/05/13 | 2010/01/28 | 75.00          |
| 63873    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 A                  | 300,000,000  | 2009/05/13 | 2010/02/25 | 87.00          |
| 63874    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 B                  | 300,000,000  | 2009/05/13 | 2010/02/25 | 123.00         |
| 63875    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2009 A           | 200,000,000  | 2009/05/13 | 2009/12/30 | 50.00          |
| 63876    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2009 B           | 200,000,000  | 2009/05/13 | 2009/12/30 | 50.00          |
| 63877    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2009 C           | 200,000,000  | 2009/05/13 | 2009/12/30 | 50.00          |
| 63892    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Dec 2009 D           | 200,000,000  | 2009/05/13 | 2009/12/30 | 50.00          |
| 63893    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Dec 2009 E           | 200,000,000  | 2009/05/13 | 2009/12/30 | 50.00          |
| 63894    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Dec 2009 F           | 200,000,000  | 2009/05/13 | 2009/12/30 | 50.00          |
| 63865    | KBC Fin Products Int'l Ltd. – HSCEI R Bull CBBC Sep 2009 I     | 248,000,000  | 2009/05/13 | 2009/09/29 | 66.96          |
| 63866    | KBC Fin Products Int'l Ltd. – HSCEI R Bull CBBC Oct 2009 H     | 248,000,000  | 2009/05/13 | 2009/10/29 | 66.96          |
| 63870    | KBC Fin Products Int'l Ltd. – HSCEI R Bear CBBC Oct 2009 I     | 248,000,000  | 2009/05/13 | 2009/10/29 | 62.00          |
| 63867    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Dec 2009 K       | 208,000,000  | 2009/05/13 | 2009/12/30 | 74.88          |
| 63868    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Dec 2009 L       | 248,000,000  | 2009/05/13 | 2009/12/30 | 74.40          |
| 63869    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Dec 2009 M       | 208,000,000  | 2009/05/13 | 2009/12/30 | 70.72          |
| 63855    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 N       | 208,000,000  | 2009/05/13 | 2009/11/27 | 70.72          |
| 63852    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Dec 2009 I       | 308,000,000  | 2009/05/13 | 2009/12/30 | 77.00          |
| 63856    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Dec 2009 J       | 248,000,000  | 2009/05/13 | 2009/12/30 | 84.32          |
| 63849    | SGA Societe Generale Acceptance N.V. – HKEx R Bear CBBC Dec09E | 200,000,000  | 2009/05/13 | 2009/12/09 | 52.00          |
| 63861    | UBS AG – A50 China R Bear CBBC Jan 2010 B                      | 300,000,000  | 2009/05/13 | 2010/01/25 | 126.00         |
| 63863    | UBS AG – HKEx R Bull CBBC Dec 2009 G                           | 300,000,000  | 2009/05/13 | 2009/12/21 | 75.00          |
| 63850    | UBS AG – HSCEI R Bear CBBC Nov 2009 M                          | 200,000,000  | 2009/05/13 | 2009/11/27 | 50.00          |
| 63859    | UBS AG – HSI R Bull CBBC Dec 2009 N                            | 300,000,000  | 2009/05/13 | 2009/12/30 | 75.00          |
| 63860    | UBS AG – HSI R Bull CBBC Dec 2009 Y                            | 300,000,000  | 2009/05/13 | 2009/12/30 | 75.00          |
| 63864    | UBS AG – HSI R Bull CBBC Dec 2009 Z                            | 300,000,000  | 2009/05/13 | 2009/12/30 | 75.00          |
| 63857    | UBS AG – HSI R Bull CBBC Jan 2010 T                            | 400,000,000  | 2009/05/13 | 2010/01/28 | 100.00         |
| 63858    | UBS AG – HSI R Bull CBBC Jan 2010 U                            | 400,000,000  | 2009/05/13 | 2010/01/28 | 100.00         |
| 63851    | UBS AG – HSI R Bear CBBC Dec 2009 M                            | 300,000,000  | 2009/05/13 | 2009/12/30 | 75.00          |
| 63862    | UBS AG – HSI R Bear CBBC Jan 2010 V                            | 300,000,000  | 2009/05/13 | 2010/01/28 | 75.00          |
| 63965    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 M                | 250,000,000  | 2009/05/14 | 2009/11/27 | 62.50          |
| 63966    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 N                | 250,000,000  | 2009/05/14 | 2009/11/27 | 62.50          |
| 63967    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 O                | 250,000,000  | 2009/05/14 | 2009/11/27 | 62.50          |
| 63971    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 P                | 250,000,000  | 2009/05/14 | 2009/11/27 | 62.50          |
| 63895    | Barclays Bank plc – HSI Bull CBBC Dec 2009 A                   | 500,000,000  | 2009/05/14 | 2009/12/30 | 137.50         |
| 63896    | Barclays Bank plc – HSI Bull CBBC Dec 2009 B                   | 500,000,000  | 2009/05/14 | 2009/12/30 | 125.00         |
| 63899    | Barclays Bank plc – HSI R Bear CBBC Dec 2009 C                 | 500,000,000  | 2009/05/14 | 2009/12/30 | 125.00         |
| 63900    | Barclays Bank plc – HSI R Bear CBBC Dec 2009 D                 | 500,000,000  | 2009/05/14 | 2009/12/30 | 137.50         |
| 63950    | BNP Paribas Arbit Issu B.V. – Ch Life R Bear CBBC Dec 2009 D   | 100,000,000  | 2009/05/14 | 2009/12/30 | 82.00          |
| 63951    | BNP Paribas Arbit Issu B.V. – HKEx R Bear CBBC Dec 2009 D      | 100,000,000  | 2009/05/14 | 2009/12/30 | 43.00          |
| 63968    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 F       | 300,000,000  | 2009/05/14 | 2010/01/28 | 75.00          |

# 主 板 可 收 回 牛 熊 證

| 股份<br>代號 | 牛熊證                                                          | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 63969    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 G     | 300,000,000  | 2009/05/14 | 2010/01/28 | 75.00          |
| 63946    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 A     | 300,000,000  | 2009/05/14 | 2009/12/30 | 75.00          |
| 63947    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 C     | 300,000,000  | 2009/05/14 | 2009/12/30 | 75.00          |
| 63945    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 Y     | 300,000,000  | 2009/05/14 | 2009/12/30 | 75.00          |
| 63959    | Deutsche Bank AG – China Mobile R Bull CBBC Oct 2009 F       | 150,000,000  | 2009/05/14 | 2009/10/27 | 37.50          |
| 63958    | Deutsche Bank AG – CC Bank R Bull CBBC Dec 2009 B            | 150,000,000  | 2009/05/14 | 2009/12/14 | 37.50          |
| 63964    | Deutsche Bank AG – A50 China R Bull CBBC Oct 2009 B          | 150,000,000  | 2009/05/14 | 2009/10/19 | 37.50          |
| 63960    | Deutsche Bank AG – HKEx R Bull CBBC Oct 2009 L               | 150,000,000  | 2009/05/14 | 2009/10/19 | 37.50          |
| 63961    | Deutsche Bank AG – HKEx R Bear CBBC Oct 2009 M               | 150,000,000  | 2009/05/14 | 2009/10/19 | 45.00          |
| 63962    | Deutsche Bank AG – HKEx R Bear CBBC Oct 2009 N               | 150,000,000  | 2009/05/14 | 2009/10/19 | 67.50          |
| 63952    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 C                | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63970    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 E                | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63972    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 F                | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63954    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 H                | 300,000,000  | 2009/05/14 | 2009/11/27 | 87.00          |
| 63956    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 I                | 300,000,000  | 2009/05/14 | 2009/11/27 | 117.00         |
| 63953    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 J                | 300,000,000  | 2009/05/14 | 2009/11/27 | 78.00          |
| 63955    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 M                | 300,000,000  | 2009/05/14 | 2009/11/27 | 102.00         |
| 63957    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 D                | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63963    | Deutsche Bank AG – ICBC R Bull CBBC Oct 2009 D               | 150,000,000  | 2009/05/14 | 2009/10/19 | 37.50          |
| 63937    | HK Bank – HSI R Bull CBBC Oct 2009 G                         | 200,000,000  | 2009/05/14 | 2009/10/29 | 50.00          |
| 63938    | HK Bank – HSI R Bull CBBC Jan 2010 B                         | 200,000,000  | 2009/05/14 | 2010/01/28 | 50.00          |
| 63939    | HK Bank – HSI R Bull CBBC Jan 2010 C                         | 200,000,000  | 2009/05/14 | 2010/01/28 | 50.00          |
| 63940    | HK Bank – HSI R Bear CBBC Nov 2009 I                         | 380,000,000  | 2009/05/14 | 2009/11/27 | 95.00          |
| 63941    | HK Bank – HSI R Bear CBBC Nov 2009 J                         | 380,000,000  | 2009/05/14 | 2009/11/27 | 95.00          |
| 63942    | HK Bank – HSI R Bear CBBC Dec 2009 J                         | 380,000,000  | 2009/05/14 | 2009/12/30 | 95.00          |
| 63943    | HK Bank – HSI R Bear CBBC Jan 2010 D                         | 380,000,000  | 2009/05/14 | 2010/01/28 | 95.00          |
| 63944    | HK Bank – HSI R Bear CBBC Mar 2010 A                         | 380,000,000  | 2009/05/14 | 2010/03/30 | 95.00          |
| 63926    | KBC Fin Products Int'l Ltd. – A50 China R Bull CBBC Nov 09 A | 208,000,000  | 2009/05/14 | 2009/11/18 | 72.80          |
| 63927    | KBC Fin Products Int'l Ltd. – A50 China R Bull CBBC Nov 09 B | 208,000,000  | 2009/05/14 | 2009/11/16 | 83.20          |
| 63917    | KBC Fin Products Int'l Ltd. – HKEx R Bull CBBC Oct 2009 H    | 188,000,000  | 2009/05/14 | 2009/10/15 | 47.00          |
| 63918    | KBC Fin Products Int'l Ltd. – HKEx R Bull CBBC Nov 2009 D    | 188,000,000  | 2009/05/14 | 2009/11/02 | 56.40          |
| 63919    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Oct 2009 I    | 188,000,000  | 2009/05/14 | 2009/10/02 | 60.16          |
| 63920    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Oct 2009 J    | 188,000,000  | 2009/05/14 | 2009/10/29 | 82.72          |
| 63921    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Oct 2009 K    | 188,000,000  | 2009/05/14 | 2009/10/02 | 90.24          |
| 63922    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Dec 2009 A    | 188,000,000  | 2009/05/14 | 2009/12/10 | 114.68         |
| 63923    | KBC Fin Products Int'l Ltd. – HSBC R Bull CBBC Nov 2009 D    | 148,000,000  | 2009/05/14 | 2009/11/27 | 39.96          |
| 63924    | KBC Fin Products Int'l Ltd. – HSBC R Bull CBBC Dec 2009 C    | 148,000,000  | 2009/05/14 | 2009/12/15 | 37.00          |
| 63925    | KBC Fin Products Int'l Ltd. – HSBC R Bear CBBC Dec 2009 D    | 148,000,000  | 2009/05/14 | 2009/12/07 | 42.92          |
| 63928    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 A     | 288,000,000  | 2009/05/14 | 2009/09/29 | 72.00          |
| 63929    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 G     | 218,000,000  | 2009/05/14 | 2009/11/27 | 78.48          |
| 63930    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Dec 2009 N     | 288,000,000  | 2009/05/14 | 2009/12/30 | 123.84         |
| 63931    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Jan 2010 A     | 288,000,000  | 2009/05/14 | 2010/01/28 | 138.24         |
| 63932    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Jan 2010 B     | 288,000,000  | 2009/05/14 | 2010/01/28 | 149.76         |
| 63933    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Jan 2010 C     | 400,000,000  | 2009/05/14 | 2010/01/28 | 124.00         |
| 63934    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Jan 2010 D     | 318,000,000  | 2009/05/14 | 2010/01/28 | 146.28         |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 63935    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Feb 2010 A        | 288,000,000  | 2009/05/14 | 2010/02/25 | 169.63         |
| 63936    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Feb 2010 B        | 600,000,000  | 2009/05/14 | 2010/02/25 | 150.00         |
| 63897    | Macquarie Bank Ltd. – HSI R Bull CBBC Oct 2009 G                | 400,000,000  | 2009/05/14 | 2009/10/29 | 100.00         |
| 63898    | Macquarie Bank Ltd. – HSI R Bear CBBC Nov 2009 F                | 400,000,000  | 2009/05/14 | 2009/11/27 | 100.40         |
| 63901    | Macquarie Bank Ltd. – HSI R Bear CBBC Nov 2009 G                | 400,000,000  | 2009/05/14 | 2009/11/27 | 100.00         |
| 63902    | SGA Societe Generale Acceptance N.V. – CTel R Bear CBBC Dec09D  | 200,000,000  | 2009/05/14 | 2009/12/09 | 50.00          |
| 63903    | SGA Societe Generale Acceptance N.V. – CNOOC R Bear CBBC Dec09C | 150,000,000  | 2009/05/14 | 2009/12/09 | 51.00          |
| 63904    | SGA Societe Generale Acceptance N.V. – HKEx R Bear CBBC Dec09F  | 200,000,000  | 2009/05/14 | 2009/12/09 | 62.00          |
| 63905    | SGA Societe Generale Acceptance N.V. – HSBC R Bull CBBC Dec09A  | 200,000,000  | 2009/05/14 | 2009/12/09 | 50.00          |
| 63907    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09E   | 300,000,000  | 2009/05/14 | 2009/11/27 | 75.00          |
| 63908    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09F   | 300,000,000  | 2009/05/14 | 2009/11/27 | 75.00          |
| 63909    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09E   | 300,000,000  | 2009/05/14 | 2009/12/30 | 75.00          |
| 63910    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09F   | 300,000,000  | 2009/05/14 | 2009/12/30 | 75.00          |
| 63913    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09G   | 300,000,000  | 2009/05/14 | 2009/11/27 | 75.00          |
| 63911    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09K   | 300,000,000  | 2009/05/14 | 2009/11/27 | 75.00          |
| 63912    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09M   | 300,000,000  | 2009/05/14 | 2009/11/27 | 75.00          |
| 63914    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09G   | 300,000,000  | 2009/05/14 | 2009/12/30 | 75.00          |
| 63915    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09H   | 300,000,000  | 2009/05/14 | 2009/12/30 | 75.00          |
| 63916    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09I   | 300,000,000  | 2009/05/14 | 2009/12/30 | 75.00          |
| 63906    | SGA Societe Generale Acceptance N.V. – HWL R Bear CBBC Dec09A   | 200,000,000  | 2009/05/14 | 2009/12/09 | 50.00          |
| 63973    | UBS AG – CC Bank R Bear CBBC Jan 2010 B                         | 200,000,000  | 2009/05/14 | 2010/01/25 | 50.00          |
| 63974    | UBS AG – China Life R Bull CBBC Dec 2009 D                      | 300,000,000  | 2009/05/14 | 2009/12/21 | 75.00          |
| 63975    | UBS AG – CNOOC R Bear CBBC Jan 2010 A                           | 200,000,000  | 2009/05/14 | 2010/01/25 | 63.00          |
| 63976    | UBS AG – CNOOC R Bear CBBC Jan 2010 B                           | 200,000,000  | 2009/05/14 | 2010/01/25 | 73.00          |
| 63977    | UBS AG – HKEx R Bull CBBC Dec 2009 H                            | 300,000,000  | 2009/05/14 | 2009/12/21 | 75.00          |
| 63978    | UBS AG – HKEx R Bear CBBC Jan 2010 A                            | 300,000,000  | 2009/05/14 | 2010/01/25 | 88.50          |
| 63979    | UBS AG – HKEx R Bear CBBC Jan 2010 B                            | 300,000,000  | 2009/05/14 | 2010/01/25 | 103.50         |
| 63980    | UBS AG – HSBC R Bull CBBC Dec 2009 J                            | 300,000,000  | 2009/05/14 | 2009/12/14 | 75.00          |
| 63983    | UBS AG – HSCEI R Bear CBBC Nov 2009 N                           | 200,000,000  | 2009/05/14 | 2009/11/27 | 50.00          |
| 63984    | UBS AG – HSCEI R Bear CBBC Mar 2010 R                           | 200,000,000  | 2009/05/14 | 2010/03/30 | 57.00          |
| 63985    | UBS AG – HSCEI R Bear CBBC Mar 2010 S                           | 200,000,000  | 2009/05/14 | 2010/03/30 | 66.00          |
| 63986    | UBS AG – HSI R Bull CBBC Feb 2010 I                             | 400,000,000  | 2009/05/14 | 2010/02/25 | 100.00         |
| 63987    | UBS AG – HSI R Bull CBBC Feb 2010 J                             | 400,000,000  | 2009/05/14 | 2010/02/25 | 100.00         |
| 63988    | UBS AG – HSI R Bull CBBC Feb 2010 K                             | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63989    | UBS AG – HSI R Bull CBBC Feb 2010 L                             | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63990    | UBS AG – HSI R Bull CBBC Feb 2010 M                             | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63948    | UBS AG – HSI R Bear CBBC Jan 2010 W                             | 300,000,000  | 2009/05/14 | 2010/01/28 | 75.00          |
| 63949    | UBS AG – HSI R Bear CBBC Jan 2010 X                             | 300,000,000  | 2009/05/14 | 2010/01/28 | 75.00          |
| 63995    | UBS AG – HSI R Bear CBBC Feb 2010 A                             | 400,000,000  | 2009/05/14 | 2010/02/25 | 100.00         |
| 63996    | UBS AG – HSI R Bear CBBC Feb 2010 B                             | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63997    | UBS AG – HSI R Bear CBBC Feb 2010 C                             | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63998    | UBS AG – HSI R Bear CBBC Feb 2010 D                             | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63999    | UBS AG – HSI R Bear CBBC Feb 2010 E                             | 400,000,000  | 2009/05/14 | 2010/02/25 | 100.00         |
| 64000    | UBS AG – HSI R Bear CBBC Feb 2010 F                             | 300,000,000  | 2009/05/14 | 2010/02/25 | 84.00          |
| 64001    | UBS AG – HSI R Bear CBBC Feb 2010 G                             | 300,000,000  | 2009/05/14 | 2010/02/25 | 102.00         |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                      | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 64002    | UBS AG – HSI R Bear CBBC Feb 2010 H                      | 400,000,000  | 2009/05/14 | 2010/02/25 | 100.00         |
| 63991    | UBS AG – HSI R Bear CBBC Feb 2010 N                      | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63992    | UBS AG – HSI R Bear CBBC Feb 2010 O                      | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63993    | UBS AG – HSI R Bear CBBC Feb 2010 P                      | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 63994    | UBS AG – HSI R Bear CBBC Feb 2010 Q                      | 300,000,000  | 2009/05/14 | 2010/02/25 | 75.00          |
| 64003    | UBS AG – HSI R Bear CBBC Apr 2010 A                      | 400,000,000  | 2009/05/14 | 2010/04/29 | 100.00         |
| 64004    | UBS AG – HSI R Bear CBBC Apr 2010 B                      | 400,000,000  | 2009/05/14 | 2010/04/29 | 100.00         |
| 64005    | UBS AG – HSI R Bear CBBC Apr 2010 C                      | 400,000,000  | 2009/05/14 | 2010/04/29 | 100.00         |
| 63981    | UBS AG – Petrochina R Bull CBBC Dec 2009 D               | 200,000,000  | 2009/05/14 | 2009/12/21 | 50.00          |
| 63982    | UBS AG – Petrochina R Bear CBBC Jan 2010 B               | 200,000,000  | 2009/05/14 | 2010/01/25 | 55.00          |
| 64062    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 Q          | 250,000,000  | 2009/05/15 | 2009/11/27 | 62.50          |
| 64063    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 R          | 250,000,000  | 2009/05/15 | 2009/11/27 | 62.50          |
| 64064    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 S          | 250,000,000  | 2009/05/15 | 2009/11/27 | 62.50          |
| 64065    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 T          | 250,000,000  | 2009/05/15 | 2009/11/27 | 62.50          |
| 64066    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 U          | 250,000,000  | 2009/05/15 | 2009/11/27 | 62.50          |
| 64067    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 V          | 250,000,000  | 2009/05/15 | 2009/11/27 | 62.50          |
| 64068    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 W          | 250,000,000  | 2009/05/15 | 2009/11/27 | 62.50          |
| 64069    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 X          | 250,000,000  | 2009/05/15 | 2009/11/27 | 62.50          |
| 64052    | Deutsche Bank AG – HKEx R Bull CBBC Oct 2009 O           | 150,000,000  | 2009/05/15 | 2009/10/12 | 37.50          |
| 64056    | Deutsche Bank AG – HKEx R Bear CBBC Oct 2009 P           | 150,000,000  | 2009/05/15 | 2009/10/19 | 75.00          |
| 64051    | Deutsche Bank AG – HSBC R Bull CBBC Oct 2009 C           | 150,000,000  | 2009/05/15 | 2009/10/19 | 37.50          |
| 64055    | Deutsche Bank AG – HSBC R Bear CBBC Oct 2009 D           | 150,000,000  | 2009/05/15 | 2009/10/27 | 67.50          |
| 64048    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 G            | 300,000,000  | 2009/05/15 | 2009/10/29 | 96.00          |
| 64049    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 H            | 300,000,000  | 2009/05/15 | 2009/10/29 | 75.00          |
| 64047    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 J            | 300,000,000  | 2009/05/15 | 2009/10/29 | 87.00          |
| 64050    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 V            | 300,000,000  | 2009/05/15 | 2009/10/29 | 75.00          |
| 64038    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 G            | 300,000,000  | 2009/05/15 | 2009/11/27 | 120.00         |
| 64035    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 O            | 300,000,000  | 2009/05/15 | 2009/11/27 | 78.00          |
| 64036    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 S            | 300,000,000  | 2009/05/15 | 2009/11/27 | 93.00          |
| 64037    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 U            | 300,000,000  | 2009/05/15 | 2009/11/27 | 108.00         |
| 64053    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2009 G     | 200,000,000  | 2009/05/15 | 2009/12/30 | 50.00          |
| 64021    | HK Bank – China Mobile R Bull CBBC Oct 2009 A            | 120,000,000  | 2009/05/15 | 2009/10/28 | 30.00          |
| 64027    | HK Bank – China Mobile R Bear CBBC Oct 2009 B            | 120,000,000  | 2009/05/15 | 2009/10/28 | 30.00          |
| 64019    | HK Bank – CC Bank R Bull CBBC Dec 2009 C                 | 120,000,000  | 2009/05/15 | 2009/12/28 | 30.00          |
| 64024    | HK Bank – CC Bank R Bear CBBC Dec 2009 D                 | 120,000,000  | 2009/05/15 | 2009/12/28 | 30.00          |
| 64020    | HK Bank – China Life R Bull CBBC Nov 2009 B              | 120,000,000  | 2009/05/15 | 2009/11/18 | 66.00          |
| 64025    | HK Bank – China Life R Bear CBBC Sep 2009 B              | 120,000,000  | 2009/05/15 | 2009/09/18 | 56.40          |
| 64026    | HK Bank – China Life R Bear CBBC Sep 2009 C              | 120,000,000  | 2009/05/15 | 2009/09/18 | 78.00          |
| 64028    | HK Bank – Sinopec Corp R Bear CBBC Dec 2009 A            | 120,000,000  | 2009/05/15 | 2009/12/28 | 30.00          |
| 64023    | HK Bank – A50 R Bull CBBC Dec 2009 A                     | 120,000,000  | 2009/05/15 | 2009/12/18 | 33.60          |
| 64030    | HK Bank – A50 R Bear CBBC Dec 2009 B                     | 120,000,000  | 2009/05/15 | 2009/12/18 | 33.60          |
| 64022    | HK Bank – HKEx R Bull CBBC Feb 2010 A                    | 120,000,000  | 2009/05/15 | 2010/02/18 | 39.60          |
| 64029    | HK Bank – HKEx R Bear CBBC Feb 2010 B                    | 120,000,000  | 2009/05/15 | 2010/02/18 | 37.20          |
| 64031    | HK Bank – HKEx R Bear CBBC Feb 2010 C                    | 120,000,000  | 2009/05/15 | 2010/02/18 | 30.00          |
| 64046    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 O | 268,000,000  | 2009/05/15 | 2009/11/27 | 67.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64039    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Dec 2009 O        | 218,000,000  | 2009/05/15 | 2009/12/30 | 54.50          |
| 64040    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Jan 2010 E        | 218,000,000  | 2009/05/15 | 2010/01/28 | 91.56          |
| 64041    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Feb 2010 C        | 218,000,000  | 2009/05/15 | 2010/02/25 | 93.74          |
| 64042    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Feb 2010 D        | 318,000,000  | 2009/05/15 | 2010/02/25 | 111.30         |
| 64043    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Feb 2010 E        | 268,000,000  | 2009/05/15 | 2010/02/25 | 123.28         |
| 64044    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Mar 2010 A        | 228,000,000  | 2009/05/15 | 2010/03/30 | 134.52         |
| 64045    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Mar 2010 B        | 268,000,000  | 2009/05/15 | 2010/03/30 | 134.00         |
| 64015    | SGA Societe Generale Acceptance N.V. – CCHC R Bear CBBC Dec09F  | 150,000,000  | 2009/05/15 | 2009/12/09 | 42.00          |
| 64014    | SGA Societe Generale Acceptance N.V. – HKEx R Bull CBBC Dec09G  | 200,000,000  | 2009/05/15 | 2009/12/09 | 50.00          |
| 64018    | SGA Societe Generale Acceptance N.V. – HKEx R Bear CBBC Dec09H  | 200,000,000  | 2009/05/15 | 2009/12/09 | 72.00          |
| 64016    | SGA Societe Generale Acceptance N.V. – HS Bk R Bear CBBC Dec09A | 100,000,000  | 2009/05/15 | 2009/12/09 | 27.00          |
| 64006    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09H   | 300,000,000  | 2009/05/15 | 2009/11/27 | 75.00          |
| 64007    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09N   | 300,000,000  | 2009/05/15 | 2009/11/27 | 75.00          |
| 64008    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09J   | 300,000,000  | 2009/05/15 | 2009/12/30 | 75.00          |
| 64010    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09O   | 300,000,000  | 2009/05/15 | 2009/11/27 | 75.00          |
| 64009    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09R   | 300,000,000  | 2009/05/15 | 2009/11/27 | 75.00          |
| 64011    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09U   | 300,000,000  | 2009/05/15 | 2009/11/27 | 75.00          |
| 64012    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09K   | 300,000,000  | 2009/05/15 | 2009/12/30 | 75.00          |
| 64013    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09L   | 300,000,000  | 2009/05/15 | 2009/12/30 | 75.00          |
| 64017    | SGA Societe Generale Acceptance N.V. – PetCh R Bull CBBC Dec09A | 200,000,000  | 2009/05/15 | 2009/12/09 | 50.00          |
| 64054    | UBS AG – China Mobile R Bull CBBC Dec 2009 G                    | 300,000,000  | 2009/05/15 | 2009/12/21 | 75.00          |
| 64058    | UBS AG – CM Bank R Bull CBBC Jan 2010 F                         | 200,000,000  | 2009/05/15 | 2010/01/25 | 83.00          |
| 64057    | UBS AG – HKEx R Bull CBBC Dec 2009 J                            | 300,000,000  | 2009/05/15 | 2009/12/21 | 75.00          |
| 64032    | UBS AG – HKEx R Bear CBBC Dec 2009 I                            | 300,000,000  | 2009/05/15 | 2009/12/21 | 75.00          |
| 64061    | UBS AG – HKEx R Bear CBBC Dec 2009 K                            | 300,000,000  | 2009/05/15 | 2009/12/21 | 75.00          |
| 64059    | UBS AG – HKEx R Bear CBBC Jan 2010 C                            | 300,000,000  | 2009/05/15 | 2010/01/25 | 132.00         |
| 64060    | UBS AG – HKEx R Bear CBBC Jan 2010 D                            | 300,000,000  | 2009/05/15 | 2010/01/25 | 102.00         |
| 64033    | UBS AG – HSI R Bull CBBC Dec 2009 L                             | 300,000,000  | 2009/05/15 | 2009/12/30 | 75.00          |
| 64034    | UBS AG – HSI R Bull CBBC Dec 2009 O                             | 300,000,000  | 2009/05/15 | 2009/12/30 | 75.00          |
| 64113    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 Y                 | 250,000,000  | 2009/05/18 | 2009/11/27 | 62.50          |
| 64114    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 Z                 | 250,000,000  | 2009/05/18 | 2009/11/27 | 62.50          |
| 64084    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 M                   | 300,000,000  | 2009/05/18 | 2009/10/29 | 75.00          |
| 64083    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 Z                   | 300,000,000  | 2009/05/18 | 2009/10/29 | 78.00          |
| 64085    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 G                   | 300,000,000  | 2009/05/18 | 2010/02/25 | 84.00          |
| 64128    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 I                   | 300,000,000  | 2009/05/18 | 2009/10/29 | 75.00          |
| 64089    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 N                   | 300,000,000  | 2009/05/18 | 2009/10/29 | 75.00          |
| 64129    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 S                   | 300,000,000  | 2009/05/18 | 2009/10/29 | 81.00          |
| 64127    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 T                   | 300,000,000  | 2009/05/18 | 2009/10/29 | 78.00          |
| 64091    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 F                   | 300,000,000  | 2009/05/18 | 2009/12/30 | 111.00         |
| 64090    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 Y                   | 300,000,000  | 2009/05/18 | 2009/12/30 | 99.00          |
| 64092    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 H                   | 300,000,000  | 2009/05/18 | 2010/02/25 | 120.00         |
| 64093    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 I                   | 300,000,000  | 2009/05/18 | 2010/02/25 | 132.00         |
| 64094    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 J                   | 300,000,000  | 2009/05/18 | 2010/02/25 | 81.00          |
| 64095    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 K                   | 300,000,000  | 2009/05/18 | 2010/02/25 | 141.00         |
| 64115    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2009 H            | 200,000,000  | 2009/05/18 | 2009/12/30 | 50.00          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64116    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2009 I            | 200,000,000  | 2009/05/18 | 2009/12/30 | 50.00          |
| 64117    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2009 J            | 200,000,000  | 2009/05/18 | 2009/12/30 | 50.00          |
| 64118    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Dec 2009 K            | 200,000,000  | 2009/05/18 | 2009/12/30 | 50.00          |
| 64119    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 A            | 200,000,000  | 2009/05/18 | 2010/01/28 | 50.00          |
| 64120    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 B            | 200,000,000  | 2009/05/18 | 2010/01/28 | 50.00          |
| 64123    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Dec 2009 L            | 200,000,000  | 2009/05/18 | 2009/12/30 | 50.00          |
| 64124    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Dec 2009 M            | 200,000,000  | 2009/05/18 | 2009/12/30 | 50.00          |
| 64125    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Dec 2009 N            | 200,000,000  | 2009/05/18 | 2009/12/30 | 50.00          |
| 64126    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Dec 2009 O            | 200,000,000  | 2009/05/18 | 2009/12/30 | 50.00          |
| 64121    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 C            | 200,000,000  | 2009/05/18 | 2010/01/28 | 50.00          |
| 64122    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 D            | 200,000,000  | 2009/05/18 | 2010/01/28 | 50.00          |
| 64110    | KBC Fin Products Int'l Ltd. – HKEx R Bull CBBC Nov 2009 E       | 228,000,000  | 2009/05/18 | 2009/11/10 | 57.00          |
| 64111    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 T        | 248,000,000  | 2009/05/18 | 2009/09/29 | 62.00          |
| 64112    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 K        | 308,000,000  | 2009/05/18 | 2009/10/29 | 77.00          |
| 64097    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Apr 2010 A        | 400,000,000  | 2009/05/18 | 2010/04/29 | 100.00         |
| 64070    | Macquarie Bank Ltd. – HSI R Bear CBBC Sep 2009 J                | 400,000,000  | 2009/05/18 | 2009/09/29 | 100.00         |
| 64071    | Macquarie Bank Ltd. – HSI R Bear CBBC Oct 2009 H                | 400,000,000  | 2009/05/18 | 2009/10/29 | 100.00         |
| 64081    | CC Rabobank B.A. – HSI R Bull CBBC Jan 2010 F                   | 150,000,000  | 2009/05/18 | 2010/01/28 | 37.50          |
| 64082    | CC Rabobank B.A. – HSI R Bull CBBC Jan 2010 G                   | 150,000,000  | 2009/05/18 | 2010/01/28 | 37.50          |
| 64086    | CC Rabobank B.A. – HSI R Bear CBBC Jan 2010 H                   | 150,000,000  | 2009/05/18 | 2010/01/28 | 37.50          |
| 64087    | CC Rabobank B.A. – HSI R Bear CBBC Jan 2010 I                   | 150,000,000  | 2009/05/18 | 2010/01/28 | 37.50          |
| 64088    | CC Rabobank B.A. – HSI R Bear CBBC Jan 2010 J                   | 150,000,000  | 2009/05/18 | 2010/01/28 | 37.50          |
| 64096    | SGA Societe Generale Acceptance NV – CHALCO R Bull CBBC Jan10A  | 100,000,000  | 2009/05/18 | 2010/01/20 | 26.00          |
| 64100    | SGA Societe Generale Acceptance NV – CHALCO R Bear CBBC Jan10B  | 100,000,000  | 2009/05/18 | 2010/01/20 | 40.00          |
| 64072    | SGA Societe Generale Acceptance N.V. – CCB R Bear CBBC Jan10A   | 200,000,000  | 2009/05/18 | 2010/01/20 | 50.00          |
| 64073    | SGA Societe Generale Acceptance N.V. – CShen R Bull CBBC Jan10A | 100,000,000  | 2009/05/18 | 2010/01/20 | 56.00          |
| 64077    | SGA Societe Generale Acceptance N.V. – CShen R Bear CBBC Jan10B | 100,000,000  | 2009/05/18 | 2010/01/20 | 61.00          |
| 64076    | SGA Societe Generale Acceptance N.V. – HSBC R Bull CBBC Jan10A  | 200,000,000  | 2009/05/18 | 2010/01/20 | 50.00          |
| 64074    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Oct09Y   | 300,000,000  | 2009/05/18 | 2009/10/29 | 75.00          |
| 64075    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09M   | 300,000,000  | 2009/05/18 | 2009/12/30 | 75.00          |
| 64078    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Oct09C   | 300,000,000  | 2009/05/18 | 2009/10/29 | 75.00          |
| 64079    | SGA Societe Generale Acceptance N.V. – HWL R Bull CBBC Jan10A   | 200,000,000  | 2009/05/18 | 2010/01/20 | 50.00          |
| 64108    | UBS AG – HKEx R Bear CBBC Jan 2010 E                            | 300,000,000  | 2009/05/18 | 2010/01/25 | 99.00          |
| 64098    | UBS AG – HSI R Bull CBBC Oct 2009 M                             | 300,000,000  | 2009/05/18 | 2009/10/29 | 75.00          |
| 64099    | UBS AG – HSI R Bull CBBC Oct 2009 N                             | 300,000,000  | 2009/05/18 | 2009/10/29 | 75.00          |
| 64101    | UBS AG – HSI R Bull CBBC Oct 2009 V                             | 300,000,000  | 2009/05/18 | 2009/10/29 | 75.00          |
| 64103    | UBS AG – HSI R Bull CBBC Jan 2010 F                             | 400,000,000  | 2009/05/18 | 2010/01/28 | 100.00         |
| 64102    | UBS AG – HSI R Bull CBBC Jan 2010 Z                             | 400,000,000  | 2009/05/18 | 2010/01/28 | 100.00         |
| 64080    | UBS AG – HSI R Bear CBBC Oct 2009 Q                             | 300,000,000  | 2009/05/18 | 2009/10/29 | 75.00          |
| 64109    | UBS AG – HSI R Bear CBBC Oct 2009 W                             | 300,000,000  | 2009/05/18 | 2009/10/29 | 75.00          |
| 64104    | UBS AG – HSI R Bear CBBC Nov 2009 K                             | 300,000,000  | 2009/05/18 | 2009/11/27 | 75.00          |
| 64107    | UBS AG – HSI R Bear CBBC Jan 2010 Y                             | 300,000,000  | 2009/05/18 | 2010/01/28 | 82.50          |
| 64105    | UBS AG – HSI R Bear CBBC Apr 2010 G                             | 300,000,000  | 2009/05/18 | 2010/04/29 | 100.50         |
| 64106    | UBS AG – HSI R Bear CBBC Apr 2010 H                             | 300,000,000  | 2009/05/18 | 2010/04/29 | 112.50         |
| 64142    | BNP Paribas Arbit Issu B.V. – HKEx R Bull CBBC Jan 2010 A       | 100,000,000  | 2009/05/19 | 2010/01/28 | 25.00          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64145    | Deutsche Bank AG – HKEx R Bear CBBC Nov 2009 A                  | 150,000,000  | 2009/05/19 | 2009/11/02 | 42.00          |
| 64136    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 U                   | 300,000,000  | 2009/05/19 | 2009/12/30 | 84.00          |
| 64135    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 Z                   | 300,000,000  | 2009/05/19 | 2009/12/30 | 75.00          |
| 64137    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 M                   | 300,000,000  | 2009/05/19 | 2010/01/28 | 90.00          |
| 64143    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 E            | 200,000,000  | 2009/05/19 | 2010/01/28 | 50.00          |
| 64146    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Jan 2010 F        | 400,000,000  | 2009/05/19 | 2010/01/28 | 100.00         |
| 64132    | CC Rabobank B.A. – HSI R Bull CBBC Jan 2010 K                   | 150,000,000  | 2009/05/19 | 2010/01/28 | 37.50          |
| 64133    | CC Rabobank B.A. – HSI R Bull CBBC Jan 2010 L                   | 150,000,000  | 2009/05/19 | 2010/01/28 | 37.50          |
| 64134    | CC Rabobank B.A. – HSI R Bull CBBC Jan 2010 M                   | 150,000,000  | 2009/05/19 | 2010/01/28 | 37.50          |
| 64138    | CC Rabobank B.A. – HSI R Bear CBBC Jan 2010 N                   | 150,000,000  | 2009/05/19 | 2010/01/28 | 37.50          |
| 64139    | CC Rabobank B.A. – HSI R Bear CBBC Jan 2010 O                   | 150,000,000  | 2009/05/19 | 2010/01/28 | 37.50          |
| 64130    | SGA Societe Generale Acceptance N.V. – CMob R Bull CBBC Dec09D  | 200,000,000  | 2009/05/19 | 2009/12/23 | 50.00          |
| 64131    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09N   | 300,000,000  | 2009/05/19 | 2009/12/30 | 75.00          |
| 64140    | UBS AG – HSI R Bull CBBC Oct 2009 X                             | 300,000,000  | 2009/05/19 | 2009/10/29 | 75.00          |
| 64141    | UBS AG – HSI R Bull CBBC Nov 2009 H                             | 300,000,000  | 2009/05/19 | 2009/11/27 | 75.00          |
| 64144    | UBS AG – HSI R Bear CBBC Oct 2009 D                             | 300,000,000  | 2009/05/19 | 2009/10/29 | 75.00          |
| 64163    | BNP Paribas Arbit Issu B.V. – A50 Ch R Bull CBBC Jan 2010 A     | 100,000,000  | 2009/05/20 | 2010/01/29 | 25.00          |
| 64162    | BNP Paribas Arbit Issu B.V. – HSBC R Bull CBBC Jan 2010 A       | 100,000,000  | 2009/05/20 | 2010/01/29 | 25.00          |
| 64159    | Deutsche Bank AG – China Life R Bear CBBC Nov 2009 A            | 150,000,000  | 2009/05/20 | 2009/11/02 | 52.50          |
| 64150    | Deutsche Bank AG – CNOOC R Bear CBBC Nov 2009 B                 | 150,000,000  | 2009/05/20 | 2009/11/16 | 60.00          |
| 64160    | Deutsche Bank AG – A50 China R Bull CBBC Nov 2009 A             | 150,000,000  | 2009/05/20 | 2009/11/02 | 37.50          |
| 64161    | Deutsche Bank AG – Petrochina R Bull CBBC Nov 2009 A            | 150,000,000  | 2009/05/20 | 2009/11/02 | 37.50          |
| 64153    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Nov 2009 F       | 188,000,000  | 2009/05/20 | 2009/11/02 | 95.88          |
| 64154    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Dec 2009 B       | 188,000,000  | 2009/05/20 | 2009/12/01 | 78.96          |
| 64155    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Dec 2009 C       | 168,000,000  | 2009/05/20 | 2009/12/18 | 99.12          |
| 64156    | KBC Fin Products Int'l Ltd. – HSBC R Bear CBBC Nov 2009 E       | 148,000,000  | 2009/05/20 | 2009/11/05 | 37.00          |
| 64157    | KBC Fin Products Int'l Ltd. – HSBC R Bear CBBC Dec 2009 E       | 148,000,000  | 2009/05/20 | 2009/12/01 | 37.00          |
| 64158    | KBC Fin Products Int'l Ltd. – HSBC R Bear CBBC Jan 2010 A       | 148,000,000  | 2009/05/20 | 2010/01/08 | 44.40          |
| 64147    | SGA Societe Generale Acceptance N.V. – BOCOM R Bull CBBC Jan10A | 150,000,000  | 2009/05/20 | 2010/01/20 | 37.50          |
| 64151    | SGA Societe Generale Acceptance N.V. – BOCOM R Bear CBBC Jan10B | 150,000,000  | 2009/05/20 | 2010/01/20 | 37.50          |
| 64148    | SGA Societe Generale Acceptance N.V. – CCoal R Bull CBBC Jan10A | 100,000,000  | 2009/05/20 | 2010/01/13 | 25.00          |
| 64152    | SGA Societe Generale Acceptance N.V. – CCoal R Bear CBBC Jan10B | 100,000,000  | 2009/05/20 | 2010/01/13 | 28.00          |
| 64149    | SGA Societe Generale Acceptance N.V. – PetCh R Bear CBBC Jan10A | 200,000,000  | 2009/05/20 | 2010/01/13 | 50.00          |
| 64164    | UBS AG – China Life R Bear CBBC Dec 2009 E                      | 300,000,000  | 2009/05/20 | 2009/12/21 | 75.00          |
| 64165    | UBS AG – CNOOC R Bull CBBC Dec 2009 I                           | 200,000,000  | 2009/05/20 | 2009/12/21 | 50.00          |
| 64168    | UBS AG – A50 China R Bear CBBC Jan 2010 C                       | 300,000,000  | 2009/05/20 | 2010/01/25 | 127.50         |
| 64169    | UBS AG – HSI R Bull CBBC Oct 2009 P                             | 300,000,000  | 2009/05/20 | 2009/10/29 | 75.00          |
| 64170    | UBS AG – HSI R Bear CBBC Nov 2009 J                             | 300,000,000  | 2009/05/20 | 2009/11/27 | 75.00          |
| 64171    | UBS AG – HSI R Bear CBBC Feb 2010 R                             | 400,000,000  | 2009/05/20 | 2010/02/25 | 100.00         |
| 64172    | UBS AG – HSI R Bear CBBC Feb 2010 S                             | 400,000,000  | 2009/05/20 | 2010/02/25 | 100.00         |
| 64166    | UBS AG – Petrochina R Bull CBBC Dec 2009 E                      | 200,000,000  | 2009/05/20 | 2009/12/21 | 50.00          |
| 64167    | UBS AG – Petrochina R Bear CBBC Jan 2010 C                      | 200,000,000  | 2009/05/20 | 2010/01/25 | 56.00          |
| 64193    | Deutsche Bank AG – China Life R Bear CBBC Nov 2009 B            | 150,000,000  | 2009/05/21 | 2009/11/02 | 45.00          |
| 64194    | Deutsche Bank AG – HKEx R Bear CBBC Nov 2009 B                  | 150,000,000  | 2009/05/21 | 2009/11/02 | 37.50          |
| 64174    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 A                   | 300,000,000  | 2009/05/21 | 2010/01/28 | 75.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64175    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 E                   | 300,000,000  | 2009/05/21 | 2010/01/28 | 75.00          |
| 64176    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 J                   | 300,000,000  | 2009/05/21 | 2010/01/28 | 81.00          |
| 64195    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 F            | 200,000,000  | 2009/05/21 | 2010/01/28 | 50.00          |
| 64196    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 G            | 200,000,000  | 2009/05/21 | 2010/01/28 | 50.00          |
| 64200    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 H            | 200,000,000  | 2009/05/21 | 2010/01/28 | 50.00          |
| 64201    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 I            | 200,000,000  | 2009/05/21 | 2010/01/28 | 50.00          |
| 64177    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 O        | 208,000,000  | 2009/05/21 | 2009/10/29 | 52.00          |
| 64178    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 R        | 248,000,000  | 2009/05/21 | 2009/11/27 | 62.00          |
| 64185    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Dec 2009 P        | 400,000,000  | 2009/05/21 | 2009/12/30 | 100.00         |
| 64179    | SGA Societe Generale Acceptance NV – CHALCO R Bear CBBC Jan10C  | 100,000,000  | 2009/05/21 | 2010/01/20 | 36.00          |
| 64180    | SGA Societe Generale Acceptance N.V. – BOCL R Bull CBBC Jan10A  | 200,000,000  | 2009/05/21 | 2010/01/20 | 50.00          |
| 64182    | SGA Societe Generale Acceptance N.V. – CTel R Bear CBBC Jan10A  | 200,000,000  | 2009/05/21 | 2010/01/20 | 50.00          |
| 64181    | SGA Societe Generale Acceptance N.V. – CLife R Bear CBBC Jan10A | 100,000,000  | 2009/05/21 | 2010/01/20 | 32.00          |
| 64183    | SGA Societe Generale Acceptance NV – JiangC R Bull CBBC Jan10A  | 100,000,000  | 2009/05/21 | 2010/01/20 | 34.00          |
| 64184    | SGA Societe Generale Acceptance N.V. – TCH R Bear CBBC Jan10A   | 100,000,000  | 2009/05/21 | 2010/01/20 | 31.00          |
| 64187    | UBS AG – China Mobile R Bear CBBC Dec 2009 H                    | 300,000,000  | 2009/05/21 | 2009/12/21 | 75.00          |
| 64186    | UBS AG – CC Bank R Bear CBBC Dec 2009 F                         | 200,000,000  | 2009/05/21 | 2009/12/14 | 50.00          |
| 64188    | UBS AG – HKEx R Bear CBBC Dec 2009 L                            | 300,000,000  | 2009/05/21 | 2009/12/21 | 75.00          |
| 64189    | UBS AG – HSCEI R Bear CBBC Dec 2009 A                           | 300,000,000  | 2009/05/21 | 2009/12/30 | 75.00          |
| 64173    | UBS AG – HSI R Bull CBBC Oct 2009 Y                             | 300,000,000  | 2009/05/21 | 2009/10/29 | 75.00          |
| 64190    | UBS AG – HSI R Bear CBBC Oct 2009 F                             | 300,000,000  | 2009/05/21 | 2009/10/29 | 75.00          |
| 64191    | UBS AG – HSI R Bear CBBC Oct 2009 I                             | 300,000,000  | 2009/05/21 | 2009/10/29 | 75.00          |
| 64192    | UBS AG – HSI R Bear CBBC Dec 2009 Q                             | 300,000,000  | 2009/05/21 | 2009/12/30 | 75.00          |
| 64211    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 N                 | 250,000,000  | 2009/05/22 | 2009/11/27 | 62.50          |
| 64212    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 O                 | 250,000,000  | 2009/05/22 | 2009/11/27 | 62.50          |
| 64198    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 E        | 300,000,000  | 2009/05/22 | 2009/12/30 | 75.00          |
| 64199    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 G        | 300,000,000  | 2009/05/22 | 2009/12/30 | 75.00          |
| 64202    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 I        | 300,000,000  | 2009/05/22 | 2009/12/30 | 75.00          |
| 64204    | Deutsche Bank AG – HSI R Bull CBBC Nov 2009 P                   | 300,000,000  | 2009/05/22 | 2009/11/27 | 75.00          |
| 64205    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 W                   | 300,000,000  | 2009/05/22 | 2009/12/30 | 81.00          |
| 64213    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 O                   | 300,000,000  | 2009/05/22 | 2009/10/29 | 78.00          |
| 64206    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 O                   | 300,000,000  | 2009/05/22 | 2010/01/28 | 78.00          |
| 64207    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 Q                   | 300,000,000  | 2009/05/22 | 2010/01/28 | 84.00          |
| 64214    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 L                   | 300,000,000  | 2009/05/22 | 2010/02/25 | 105.00         |
| 64215    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 M                   | 300,000,000  | 2009/05/22 | 2010/02/25 | 108.00         |
| 64216    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 N                   | 300,000,000  | 2009/05/22 | 2010/02/25 | 132.00         |
| 64203    | SGA Societe Generale Acceptance N.V. – HKEx R Bear CBBC Jan10A  | 200,000,000  | 2009/05/22 | 2010/01/13 | 50.00          |
| 64208    | UBS AG – HKEx R Bear CBBC Dec 2009 M                            | 300,000,000  | 2009/05/22 | 2009/12/21 | 75.00          |
| 64209    | UBS AG – HSI R Bull CBBC Oct 2009 G                             | 300,000,000  | 2009/05/22 | 2009/10/29 | 75.00          |
| 64210    | UBS AG – HSI R Bull CBBC Oct 2009 O                             | 300,000,000  | 2009/05/22 | 2009/10/29 | 75.00          |
| 64197    | UBS AG – HSI R Bear CBBC Oct 2009 U                             | 300,000,000  | 2009/05/22 | 2009/10/29 | 75.00          |
| 64221    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Feb 2010 C        | 300,000,000  | 2009/05/25 | 2010/02/25 | 75.00          |
| 64222    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Feb 2010 D        | 300,000,000  | 2009/05/25 | 2010/02/25 | 75.00          |
| 64223    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Mar 2010 B        | 300,000,000  | 2009/05/25 | 2010/03/30 | 75.00          |
| 64226    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 A                   | 300,000,000  | 2009/05/25 | 2009/10/29 | 75.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                            | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64233    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 K                  | 300,000,000  | 2009/05/25 | 2009/10/29 | 75.00          |
| 64234    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 L                  | 300,000,000  | 2009/05/25 | 2009/10/29 | 81.00          |
| 64230    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 P                  | 300,000,000  | 2009/05/25 | 2009/10/29 | 78.00          |
| 64235    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 J           | 200,000,000  | 2009/05/25 | 2010/01/28 | 50.00          |
| 64236    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 K           | 200,000,000  | 2009/05/25 | 2010/01/28 | 50.00          |
| 64237    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 L           | 200,000,000  | 2009/05/25 | 2010/01/28 | 50.00          |
| 64231    | KBC Fin Products Int'l Ltd. – HKEx R Bull CBBC Oct 2009 L      | 188,000,000  | 2009/05/25 | 2009/10/15 | 47.00          |
| 64229    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 P       | 208,000,000  | 2009/05/25 | 2009/10/29 | 52.00          |
| 64218    | CC Rabobank B.A. – HSI R Bull CBBC Feb 2010 C                  | 100,000,000  | 2009/05/25 | 2010/02/25 | 25.00          |
| 64219    | CC Rabobank B.A. – HSI R Bull CBBC Feb 2010 D                  | 100,000,000  | 2009/05/25 | 2010/02/25 | 25.00          |
| 64220    | CC Rabobank B.A. – HSI R Bull CBBC Feb 2010 E                  | 100,000,000  | 2009/05/25 | 2010/02/25 | 25.00          |
| 64224    | CC Rabobank B.A. – HSI R Bear CBBC Feb 2010 F                  | 100,000,000  | 2009/05/25 | 2010/02/25 | 25.00          |
| 64225    | CC Rabobank B.A. – HSI R Bear CBBC Feb 2010 G                  | 100,000,000  | 2009/05/25 | 2010/02/25 | 25.00          |
| 64228    | SGA Societe Generale Acceptance N.V. – CMB R Bull CBBC Jan 10A | 100,000,000  | 2009/05/25 | 2010/01/20 | 42.00          |
| 64232    | SGA Societe Generale Acceptance N.V. – CMB R Bear CBBC Jan 10B | 100,000,000  | 2009/05/25 | 2010/01/20 | 40.00          |
| 64217    | UBS AG – HSI R Bull CBBC Oct 2009 C                            | 300,000,000  | 2009/05/25 | 2009/10/29 | 75.00          |
| 64227    | UBS AG – HSI R Bear CBBC Dec 2009 T                            | 300,000,000  | 2009/05/25 | 2009/12/30 | 75.00          |
| 64239    | ABN AMRO Bank N.V. – China Mobile R Bull CBBC Dec 2009 A       | 80,000,000   | 2009/05/26 | 2009/12/10 | 20.00          |
| 64243    | ABN AMRO Bank N.V. – China Mobile R Bear CBBC Dec 2009 B       | 80,000,000   | 2009/05/26 | 2009/12/10 | 20.00          |
| 64238    | ABN AMRO Bank N.V. – Ch Life R Bull CBBC Dec 2009 A            | 80,000,000   | 2009/05/26 | 2009/12/10 | 32.72          |
| 64242    | ABN AMRO Bank N.V. – Ch Life R Bear CBBC Dec 2009 B            | 80,000,000   | 2009/05/26 | 2009/12/10 | 50.32          |
| 64240    | ABN AMRO Bank N.V. – HSBC R Bull CBBC Dec 2009 A               | 80,000,000   | 2009/05/26 | 2009/12/10 | 20.00          |
| 64244    | ABN AMRO Bank N.V. – HSBC R Bear CBBC Dec 2009 B               | 80,000,000   | 2009/05/26 | 2009/12/10 | 20.00          |
| 64268    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 M                | 250,000,000  | 2009/05/26 | 2009/11/27 | 62.50          |
| 64269    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 Y                | 250,000,000  | 2009/05/26 | 2009/11/27 | 62.50          |
| 64270    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 H       | 300,000,000  | 2009/05/26 | 2010/01/28 | 75.00          |
| 64271    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 I       | 300,000,000  | 2009/05/26 | 2010/01/28 | 75.00          |
| 64272    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Feb 2010 E       | 300,000,000  | 2009/05/26 | 2010/02/25 | 75.00          |
| 64273    | Deutsche Bank AG – China Life R Bull CBBC Nov 2009 C           | 150,000,000  | 2009/05/26 | 2009/11/02 | 48.00          |
| 64276    | Deutsche Bank AG – HKEx R Bull CBBC Nov 2009 C                 | 150,000,000  | 2009/05/26 | 2009/11/02 | 37.50          |
| 64274    | Deutsche Bank AG – HSBC R Bull CBBC Nov 2009 A                 | 150,000,000  | 2009/05/26 | 2009/11/02 | 40.50          |
| 64275    | Deutsche Bank AG – HSBC R Bear CBBC Nov 2009 B                 | 150,000,000  | 2009/05/26 | 2009/11/02 | 37.50          |
| 64249    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 D                  | 300,000,000  | 2009/05/26 | 2010/01/28 | 87.00          |
| 64252    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 I                  | 300,000,000  | 2009/05/26 | 2010/01/28 | 81.00          |
| 64253    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 L                  | 300,000,000  | 2009/05/26 | 2010/01/28 | 75.00          |
| 64254    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 M                  | 300,000,000  | 2009/05/26 | 2010/01/28 | 75.00          |
| 64255    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 O                  | 300,000,000  | 2009/05/26 | 2010/02/25 | 126.00         |
| 64256    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 P                  | 300,000,000  | 2009/05/26 | 2010/02/25 | 141.00         |
| 64277    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 M           | 200,000,000  | 2009/05/26 | 2010/01/28 | 50.00          |
| 64278    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 N           | 200,000,000  | 2009/05/26 | 2010/01/28 | 50.00          |
| 64282    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 O           | 200,000,000  | 2009/05/26 | 2010/01/28 | 50.00          |
| 64283    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 P           | 200,000,000  | 2009/05/26 | 2010/01/28 | 50.00          |
| 64247    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Sep 2009 B       | 248,000,000  | 2009/05/26 | 2009/09/29 | 62.00          |
| 64248    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Sep 2009 Z       | 208,000,000  | 2009/05/26 | 2009/09/29 | 52.00          |
| 64246    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 M       | 308,000,000  | 2009/05/26 | 2009/10/29 | 77.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64251    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 L        | 208,000,000  | 2009/05/26 | 2009/10/29 | 60.32          |
| 64250    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 Z        | 308,000,000  | 2009/05/26 | 2009/10/29 | 80.08          |
| 64260    | UBS AG – China Life R Bull CBBC Jan 2010 B                      | 300,000,000  | 2009/05/26 | 2010/01/25 | 75.00          |
| 64241    | UBS AG – CM Bank R Bull CBBC Jan 2010 G                         | 200,000,000  | 2009/05/26 | 2010/01/25 | 52.00          |
| 64261    | UBS AG – CM Bank R Bear CBBC Jan 2010 H                         | 200,000,000  | 2009/05/26 | 2010/01/25 | 116.00         |
| 64263    | UBS AG – CNOOC R Bear CBBC Jan 2010 C                           | 200,000,000  | 2009/05/26 | 2010/01/25 | 71.00          |
| 64262    | UBS AG – Sinopec Corp R Bull CBBC Jan 2010 B                    | 200,000,000  | 2009/05/26 | 2010/01/25 | 50.00          |
| 64264    | UBS AG – HKEx R Bull CBBC Jan 2010 F                            | 300,000,000  | 2009/05/26 | 2010/01/25 | 75.00          |
| 64265    | UBS AG – HSBC R Bull CBBC Jan 2010 A                            | 300,000,000  | 2009/05/26 | 2010/01/25 | 75.00          |
| 64257    | UBS AG – HSCEI R Bull CBBC Dec 2009 B                           | 200,000,000  | 2009/05/26 | 2009/12/30 | 50.00          |
| 64258    | UBS AG – HSI R Bull CBBC Oct 2009 K                             | 300,000,000  | 2009/05/26 | 2009/10/29 | 75.00          |
| 64259    | UBS AG – HSI R Bull CBBC Oct 2009 S                             | 300,000,000  | 2009/05/26 | 2009/10/29 | 75.00          |
| 64245    | UBS AG – HSI R Bear CBBC Oct 2009 H                             | 300,000,000  | 2009/05/26 | 2009/10/29 | 75.00          |
| 64266    | UBS AG – ICBC R Bear CBBC Jan 2010 F                            | 200,000,000  | 2009/05/26 | 2010/01/25 | 50.00          |
| 64267    | UBS AG – Petrochina R Bear CBBC Jan 2010 D                      | 200,000,000  | 2009/05/26 | 2010/01/25 | 64.00          |
| 64304    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 V        | 208,000,000  | 2009/05/27 | 2009/11/27 | 52.00          |
| 64279    | Macquarie Bank Ltd. – HSI R Bull CBBC Nov 2009 H                | 400,000,000  | 2009/05/27 | 2009/11/27 | 100.00         |
| 64302    | CC Rabobank B.A. – A50 China R Bull CBBC Feb 2010 A             | 120,000,000  | 2009/05/27 | 2010/02/25 | 30.00          |
| 64303    | CC Rabobank B.A. – A50 China R Bull CBBC Feb 2010 B             | 120,000,000  | 2009/05/27 | 2010/02/25 | 30.00          |
| 64307    | CC Rabobank B.A. – A50 China R Bear CBBC Feb 2010 C             | 120,000,000  | 2009/05/27 | 2010/02/25 | 33.60          |
| 64308    | CC Rabobank B.A. – A50 China R Bear CBBC Feb 2010 D             | 120,000,000  | 2009/05/27 | 2010/02/25 | 30.00          |
| 64289    | SGA Societe Generale Acceptance N.V. – CUni R Bear CBBC Jan10A  | 100,000,000  | 2009/05/27 | 2010/01/20 | 37.00          |
| 64287    | SGA Societe Generale Acceptance N.V. – CCHC R Bull CBBC Jan10A  | 100,000,000  | 2009/05/27 | 2010/01/13 | 29.00          |
| 64291    | SGA Societe Generale Acceptance N.V. – CCHC R Bear CBBC Jan10B  | 100,000,000  | 2009/05/27 | 2010/01/13 | 32.00          |
| 64288    | SGA Societe Generale Acceptance N.V. – CMB R Bear CBBC Jan10C   | 100,000,000  | 2009/05/27 | 2010/01/20 | 49.00          |
| 64290    | SGA Societe Generale Acceptance N.V. – HKEx R Bull CBBC Jan10B  | 200,000,000  | 2009/05/27 | 2010/01/13 | 50.00          |
| 64281    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09H   | 300,000,000  | 2009/05/27 | 2009/11/27 | 75.00          |
| 64280    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09Z   | 300,000,000  | 2009/05/27 | 2009/11/27 | 75.00          |
| 64285    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09D   | 300,000,000  | 2009/05/27 | 2009/11/27 | 90.00          |
| 64286    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09J   | 300,000,000  | 2009/05/27 | 2009/11/27 | 97.50          |
| 64284    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09N   | 300,000,000  | 2009/05/27 | 2009/11/27 | 90.00          |
| 64292    | SGA Societe Generale Acceptance NV – JiangC R Bear CBBC Jan10B  | 100,000,000  | 2009/05/27 | 2010/01/20 | 40.00          |
| 64293    | SGA Societe Generale Acceptance N.V. – PetCh R Bull CBBC Jan10B | 200,000,000  | 2009/05/27 | 2010/01/13 | 50.00          |
| 64298    | UBS AG – CC Bank R Bear CBBC Jan 2010 C                         | 200,000,000  | 2009/05/27 | 2010/01/18 | 50.00          |
| 64299    | UBS AG – CC Bank R Bear CBBC Jan 2010 D                         | 200,000,000  | 2009/05/27 | 2010/01/18 | 51.00          |
| 64296    | UBS AG – CM Bank R Bull CBBC Jan 2010 I                         | 200,000,000  | 2009/05/27 | 2010/01/18 | 82.00          |
| 64300    | UBS AG – CM Bank R Bear CBBC Jan 2010 J                         | 200,000,000  | 2009/05/27 | 2010/01/18 | 79.00          |
| 64297    | UBS AG – HKEx R Bull CBBC Jan 2010 G                            | 300,000,000  | 2009/05/27 | 2010/01/18 | 75.00          |
| 64301    | UBS AG – HKEx R Bear CBBC Jan 2010 H                            | 300,000,000  | 2009/05/27 | 2010/01/18 | 75.00          |
| 64306    | UBS AG – HSBC R Bear CBBC Jan 2010 B                            | 300,000,000  | 2009/05/27 | 2010/01/18 | 75.00          |
| 64310    | UBS AG – HSBC R Bear CBBC Jan 2010 C                            | 300,000,000  | 2009/05/27 | 2010/01/18 | 82.50          |
| 64294    | UBS AG – HSCEI R Bull CBBC Feb 2010 A                           | 200,000,000  | 2009/05/27 | 2010/02/25 | 50.00          |
| 64305    | UBS AG – HSI R Bull CBBC Oct 2009 T                             | 300,000,000  | 2009/05/27 | 2009/10/29 | 75.00          |
| 64309    | UBS AG – HSI R Bear CBBC Oct 2009 M                             | 300,000,000  | 2009/05/27 | 2009/10/29 | 75.00          |
| 64295    | UBS AG – HSI R Bear CBBC Feb 2010 T                             | 300,000,000  | 2009/05/27 | 2010/02/25 | 81.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                          | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 64319    | BOCI Asia Ltd. – HSBC R Bull CBBC Feb 2010 A                 | 200,000,000  | 2009/05/29 | 2010/02/03 | 50.00          |
| 64317    | Deutsche Bank AG – HSI R Bull CBBC Dec 2009 U                | 300,000,000  | 2009/05/29 | 2009/12/30 | 75.00          |
| 64318    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 A                | 300,000,000  | 2009/05/29 | 2010/01/28 | 75.00          |
| 64322    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 E                | 300,000,000  | 2009/05/29 | 2010/01/28 | 75.00          |
| 64323    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 J                | 300,000,000  | 2009/05/29 | 2010/01/28 | 78.00          |
| 64320    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 Q         | 200,000,000  | 2009/05/29 | 2010/01/28 | 50.00          |
| 64321    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 R         | 200,000,000  | 2009/05/29 | 2010/01/28 | 50.00          |
| 64316    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 I     | 248,000,000  | 2009/05/29 | 2009/10/29 | 62.00          |
| 64312    | UBS AG – CM Bank R Bear CBBC Jan 2010 K                      | 200,000,000  | 2009/05/29 | 2010/01/25 | 104.00         |
| 64313    | UBS AG – Sinopec Corp R Bear CBBC Jan 2010 C                 | 200,000,000  | 2009/05/29 | 2010/01/25 | 53.00          |
| 64311    | UBS AG – HSI R Bull CBBC Oct 2009 N                          | 300,000,000  | 2009/05/29 | 2009/10/29 | 75.00          |
| 64314    | UBS AG – HSI R Bull CBBC Dec 2009 M                          | 300,000,000  | 2009/05/29 | 2009/12/30 | 75.00          |
| 64315    | UBS AG – HSI R Bear CBBC Oct 2009 V                          | 300,000,000  | 2009/05/29 | 2009/10/29 | 75.00          |
| 64325    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 J     | 300,000,000  | 2009/06/01 | 2010/01/28 | 75.00          |
| 64326    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 Z     | 300,000,000  | 2009/06/01 | 2009/12/30 | 75.00          |
| 64336    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 Q                | 300,000,000  | 2009/06/01 | 2010/02/25 | 78.00          |
| 64337    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 R                | 300,000,000  | 2009/06/01 | 2010/02/25 | 81.00          |
| 64338    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 S                | 300,000,000  | 2009/06/01 | 2010/02/25 | 87.00          |
| 64331    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Oct 2009 M    | 188,000,000  | 2009/06/01 | 2009/10/02 | 48.88          |
| 64328    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 W     | 248,000,000  | 2009/06/01 | 2009/11/27 | 62.00          |
| 64327    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 X     | 308,000,000  | 2009/06/01 | 2009/11/27 | 86.24          |
| 64330    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 K     | 208,000,000  | 2009/06/01 | 2009/10/29 | 52.00          |
| 64329    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 Q     | 248,000,000  | 2009/06/01 | 2009/10/29 | 62.00          |
| 64333    | UBS AG – CM Bank R Bear CBBC Jan 2010 L                      | 200,000,000  | 2009/06/01 | 2010/01/25 | 74.00          |
| 64324    | UBS AG – HSI R Bull CBBC Oct 2009 D                          | 300,000,000  | 2009/06/01 | 2009/10/29 | 75.00          |
| 64332    | UBS AG – HSI R Bull CBBC Oct 2009 Q                          | 300,000,000  | 2009/06/01 | 2009/10/29 | 75.00          |
| 64335    | UBS AG – HSI R Bear CBBC Oct 2009 F                          | 300,000,000  | 2009/06/01 | 2009/10/29 | 75.00          |
| 64334    | UBS AG – HSI R Bear CBBC Oct 2009 W                          | 300,000,000  | 2009/06/01 | 2009/10/29 | 75.00          |
| 64350    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 K     | 300,000,000  | 2009/06/02 | 2010/01/28 | 75.00          |
| 64351    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 R                | 300,000,000  | 2009/06/02 | 2009/10/29 | 75.00          |
| 64357    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 V                | 300,000,000  | 2009/06/02 | 2009/10/29 | 75.00          |
| 64361    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 G                | 300,000,000  | 2009/06/02 | 2009/10/29 | 84.00          |
| 64355    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 H                | 300,000,000  | 2009/06/02 | 2009/10/29 | 81.00          |
| 64354    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 S         | 200,000,000  | 2009/06/02 | 2010/01/28 | 50.00          |
| 64352    | KBC Fin Products Int'l Ltd. – SHK Ppt R Bull CBBC Nov 2009 A | 188,000,000  | 2009/06/02 | 2009/11/02 | 47.00          |
| 64356    | KBC Fin Products Int'l Ltd. – SHK Ppt R Bear CBBC Nov 2009 B | 188,000,000  | 2009/06/02 | 2009/11/10 | 65.80          |
| 64339    | CC Rabobank B.A. – HSI R Bull CBBC Feb 2010 H                | 100,000,000  | 2009/06/02 | 2010/02/25 | 25.00          |
| 64340    | CC Rabobank B.A. – HSI R Bull CBBC Feb 2010 I                | 100,000,000  | 2009/06/02 | 2010/02/25 | 25.00          |
| 64341    | CC Rabobank B.A. – HSI R Bull CBBC Mar 2010 D                | 100,000,000  | 2009/06/02 | 2010/03/30 | 25.00          |
| 64342    | CC Rabobank B.A. – HSI R Bull CBBC Mar 2010 E                | 100,000,000  | 2009/06/02 | 2010/03/30 | 25.00          |
| 64343    | CC Rabobank B.A. – HSI R Bull CBBC Mar 2010 F                | 100,000,000  | 2009/06/02 | 2010/03/30 | 25.00          |
| 64344    | CC Rabobank B.A. – HSI R Bear CBBC Feb 2010 J                | 100,000,000  | 2009/06/02 | 2010/02/25 | 25.00          |
| 64345    | CC Rabobank B.A. – HSI R Bear CBBC Feb 2010 K                | 100,000,000  | 2009/06/02 | 2010/02/25 | 25.00          |
| 64346    | CC Rabobank B.A. – HSI R Bear CBBC Feb 2010 L                | 100,000,000  | 2009/06/02 | 2010/02/25 | 25.00          |
| 64347    | CC Rabobank B.A. – HSI R Bear CBBC Mar 2010 G                | 100,000,000  | 2009/06/02 | 2010/03/30 | 25.00          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                        | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 64348    | CC Rabobank B.A. – HSI R Bear CBBC Mar 2010 H              | 100,000,000  | 2009/06/02 | 2010/03/30 | 25.00          |
| 64349    | UBS AG – HSI R Bull CBBC Oct 2009 I                        | 300,000,000  | 2009/06/02 | 2009/10/29 | 75.00          |
| 64353    | UBS AG – HSI R Bear CBBC Oct 2009 P                        | 300,000,000  | 2009/06/02 | 2009/10/29 | 75.00          |
| 63350    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 Y              | 300,000,000  | 2009/06/02 | 2009/10/29 | 35.40          |
| 64371    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 T       | 200,000,000  | 2009/06/03 | 2010/01/28 | 50.00          |
| 64370    | KBC Fin Products Int'l Ltd. – HSCEI R Bear CBBC Nov 2009 C | 228,000,000  | 2009/06/03 | 2009/11/27 | 57.00          |
| 64358    | CC Rabobank B.A. – HKEx R Bull CBBC Feb 2010 A             | 100,000,000  | 2009/06/03 | 2010/02/25 | 25.00          |
| 64359    | CC Rabobank B.A. – HKEx R Bull CBBC Mar 2010 A             | 100,000,000  | 2009/06/03 | 2010/03/30 | 35.00          |
| 64363    | CC Rabobank B.A. – HKEx R Bear CBBC Feb 2010 B             | 100,000,000  | 2009/06/03 | 2010/02/25 | 25.00          |
| 64364    | CC Rabobank B.A. – HKEx R Bear CBBC Feb 2010 C             | 100,000,000  | 2009/06/03 | 2010/02/25 | 35.00          |
| 64365    | CC Rabobank B.A. – HKEx R Bear CBBC Mar 2010 B             | 100,000,000  | 2009/06/03 | 2010/03/30 | 45.00          |
| 64360    | UBS AG – Cheung Kong R Bull CBBC Feb 2010 A                | 200,000,000  | 2009/06/03 | 2010/02/22 | 50.00          |
| 64366    | UBS AG – Cheung Kong R Bear CBBC Feb 2010 B                | 200,000,000  | 2009/06/03 | 2010/02/22 | 50.00          |
| 64367    | UBS AG – CNOOC R Bear CBBC Dec 2009 J                      | 200,000,000  | 2009/06/03 | 2009/12/21 | 50.00          |
| 64372    | UBS AG – HSCEI R Bear CBBC Oct 2009 Q                      | 200,000,000  | 2009/06/03 | 2009/10/29 | 50.00          |
| 64369    | UBS AG – HSI R Bull CBBC Oct 2009 U                        | 300,000,000  | 2009/06/03 | 2009/10/29 | 75.00          |
| 64373    | UBS AG – HSI R Bear CBBC Oct 2009 X                        | 300,000,000  | 2009/06/03 | 2009/10/29 | 75.00          |
| 64362    | UBS AG – SHK Ppt R Bull CBBC Feb 2010 A                    | 200,000,000  | 2009/06/03 | 2010/02/22 | 50.00          |
| 64368    | UBS AG – SHK Ppt R Bear CBBC Feb 2010 B                    | 200,000,000  | 2009/06/03 | 2010/02/22 | 50.00          |
| 64422    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 N            | 250,000,000  | 2009/06/04 | 2009/11/27 | 62.50          |
| 64421    | ABN AMRO Bank N.V. – HSI R Bull CBBC Nov 2009 Z            | 250,000,000  | 2009/06/04 | 2009/11/27 | 62.50          |
| 64423    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 A            | 250,000,000  | 2009/06/04 | 2009/12/30 | 70.75          |
| 64427    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 O            | 250,000,000  | 2009/06/04 | 2009/11/27 | 63.00          |
| 64428    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 S            | 250,000,000  | 2009/06/04 | 2009/11/27 | 64.75          |
| 64429    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 B            | 250,000,000  | 2009/06/04 | 2009/12/30 | 76.25          |
| 64430    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 C            | 250,000,000  | 2009/06/04 | 2009/12/30 | 64.50          |
| 64431    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 D            | 250,000,000  | 2009/06/04 | 2009/12/30 | 91.50          |
| 64432    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 E            | 250,000,000  | 2009/06/04 | 2009/12/30 | 101.75         |
| 64379    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 L   | 300,000,000  | 2009/06/04 | 2010/01/28 | 75.00          |
| 64380    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 M   | 300,000,000  | 2009/06/04 | 2010/01/28 | 75.00          |
| 64381    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 N   | 300,000,000  | 2009/06/04 | 2010/01/28 | 75.00          |
| 64382    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 J   | 300,000,000  | 2009/06/04 | 2009/12/30 | 75.00          |
| 64411    | Deutsche Bank AG – HKEx R Bull CBBC Nov 2009 D             | 150,000,000  | 2009/06/04 | 2009/11/23 | 37.50          |
| 64383    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 D              | 300,000,000  | 2009/06/04 | 2010/01/28 | 87.00          |
| 64386    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 F              | 300,000,000  | 2009/06/04 | 2010/01/28 | 75.00          |
| 64384    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 I              | 300,000,000  | 2009/06/04 | 2010/01/28 | 81.00          |
| 64385    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 L              | 300,000,000  | 2009/06/04 | 2010/01/28 | 78.00          |
| 64412    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 U              | 300,000,000  | 2009/06/04 | 2010/02/25 | 75.00          |
| 64387    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 T              | 300,000,000  | 2009/06/04 | 2010/02/25 | 84.00          |
| 64405    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 U       | 200,000,000  | 2009/06/04 | 2010/01/28 | 50.00          |
| 64406    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Jan 2010 V       | 200,000,000  | 2009/06/04 | 2010/01/28 | 50.00          |
| 64407    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 A       | 200,000,000  | 2009/06/04 | 2010/02/25 | 50.00          |
| 64408    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 B       | 200,000,000  | 2009/06/04 | 2010/02/25 | 50.00          |
| 64409    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 W       | 200,000,000  | 2009/06/04 | 2010/01/28 | 50.00          |
| 64410    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Jan 2010 X       | 200,000,000  | 2009/06/04 | 2010/01/28 | 50.00          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                          | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 64414    | KBC Fin Products Int'l Ltd. – A50 China R Bull CBBC Oct 09 C | 208,000,000  | 2009/06/04 | 2009/10/05 | 52.00          |
| 64413    | KBC Fin Products Int'l Ltd. – HKEx R Bull CBBC Nov 2009 G    | 188,000,000  | 2009/06/04 | 2009/11/18 | 47.00          |
| 64415    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Sep 2009 R     | 248,000,000  | 2009/06/04 | 2009/09/29 | 62.00          |
| 64417    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 M     | 208,000,000  | 2009/06/04 | 2009/10/29 | 52.00          |
| 64416    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 O     | 308,000,000  | 2009/06/04 | 2009/10/29 | 77.00          |
| 64418    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 G     | 208,000,000  | 2009/06/04 | 2009/11/27 | 58.24          |
| 64419    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 M     | 248,000,000  | 2009/06/04 | 2009/11/27 | 62.00          |
| 64420    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Dec 2009 Q     | 248,000,000  | 2009/06/04 | 2009/12/30 | 66.96          |
| 64375    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 N     | 248,000,000  | 2009/06/04 | 2009/11/27 | 62.00          |
| 64376    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 O     | 208,000,000  | 2009/06/04 | 2009/11/27 | 52.00          |
| 64374    | Macquarie Bank Ltd. – HSI R Bear CBBC Oct 2009 I             | 400,000,000  | 2009/06/04 | 2009/10/29 | 100.00         |
| 64393    | UBS AG – China Mobile R Bull CBBC Dec 2009 I                 | 300,000,000  | 2009/06/04 | 2009/12/21 | 75.00          |
| 64388    | UBS AG – CC Bank R Bull CBBC Dec 2009 G                      | 200,000,000  | 2009/06/04 | 2009/12/21 | 50.00          |
| 64389    | UBS AG – Cheung Kong R Bull CBBC Jan 2010 E                  | 200,000,000  | 2009/06/04 | 2010/01/18 | 50.00          |
| 64390    | UBS AG – Cheung Kong R Bear CBBC Feb 2010 C                  | 200,000,000  | 2009/06/04 | 2010/02/22 | 63.00          |
| 64391    | UBS AG – China Life R Bull CBBC Dec 2009 F                   | 300,000,000  | 2009/06/04 | 2009/12/21 | 210.00         |
| 64392    | UBS AG – CM Bank R Bear CBBC Jan 2010 M                      | 200,000,000  | 2009/06/04 | 2010/01/25 | 140.00         |
| 64401    | UBS AG – HSI R Bull CBBC Oct 2009 K                          | 300,000,000  | 2009/06/04 | 2009/10/29 | 75.00          |
| 64403    | UBS AG – HSI R Bull CBBC Oct 2009 M                          | 300,000,000  | 2009/06/04 | 2009/10/29 | 75.00          |
| 64402    | UBS AG – HSI R Bull CBBC Oct 2009 S                          | 300,000,000  | 2009/06/04 | 2009/10/29 | 75.00          |
| 64404    | UBS AG – HSI R Bull CBBC Dec 2009 Z                          | 400,000,000  | 2009/06/04 | 2009/12/30 | 100.00         |
| 64378    | UBS AG – HSI R Bear CBBC Oct 2009 H                          | 300,000,000  | 2009/06/04 | 2009/10/29 | 75.00          |
| 64377    | UBS AG – HSI R Bear CBBC Oct 2009 Y                          | 300,000,000  | 2009/06/04 | 2009/10/29 | 75.00          |
| 64396    | UBS AG – HSI R Bear CBBC Apr 2010 I                          | 300,000,000  | 2009/06/04 | 2010/04/29 | 84.00          |
| 64397    | UBS AG – HSI R Bear CBBC Apr 2010 J                          | 300,000,000  | 2009/06/04 | 2010/04/29 | 115.50         |
| 64398    | UBS AG – HSI R Bear CBBC Apr 2010 K                          | 300,000,000  | 2009/06/04 | 2010/04/29 | 127.50         |
| 64399    | UBS AG – HSI R Bear CBBC Apr 2010 L                          | 300,000,000  | 2009/06/04 | 2010/04/29 | 139.50         |
| 64400    | UBS AG – HSI R Bear CBBC Apr 2010 M                          | 400,000,000  | 2009/06/04 | 2010/04/29 | 100.00         |
| 64394    | UBS AG – SHK Ppt R Bull CBBC Jan 2010 H                      | 200,000,000  | 2009/06/04 | 2010/01/18 | 50.00          |
| 64395    | UBS AG – SHK Ppt R Bear CBBC Feb 2010 C                      | 200,000,000  | 2009/06/04 | 2010/02/22 | 61.00          |
| 64484    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 O     | 300,000,000  | 2009/06/05 | 2010/01/28 | 75.00          |
| 64485    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 P     | 300,000,000  | 2009/06/05 | 2010/01/28 | 75.00          |
| 64487    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 K     | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64486    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 L     | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64488    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 M     | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64466    | Deutsche Bank AG – China Life R Bull CBBC Nov 2009 D         | 150,000,000  | 2009/06/05 | 2009/11/23 | 45.00          |
| 64468    | Deutsche Bank AG – HSI R Bull CBBC Nov 2009 J                | 300,000,000  | 2009/06/05 | 2009/11/27 | 75.00          |
| 64467    | Deutsche Bank AG – HSI R Bull CBBC Nov 2009 L                | 300,000,000  | 2009/06/05 | 2009/11/27 | 78.00          |
| 64461    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 V                | 300,000,000  | 2009/06/05 | 2010/02/25 | 84.00          |
| 64462    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 W                | 300,000,000  | 2009/06/05 | 2010/02/25 | 75.00          |
| 64469    | Deutsche Bank AG – HSI R Bear CBBC Mar 2010 A                | 300,000,000  | 2009/06/05 | 2010/03/30 | 126.00         |
| 64470    | Deutsche Bank AG – HSI R Bear CBBC Mar 2010 B                | 300,000,000  | 2009/06/05 | 2010/03/30 | 135.00         |
| 64471    | Deutsche Bank AG – HSI R Bear CBBC Mar 2010 C                | 300,000,000  | 2009/06/05 | 2010/03/30 | 159.00         |
| 64489    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 C         | 200,000,000  | 2009/06/05 | 2010/02/25 | 50.00          |
| 64493    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 D         | 200,000,000  | 2009/06/05 | 2010/02/25 | 50.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64426    | HK Bank – HSI R Bull CBBC Dec 2009 K                            | 380,000,000  | 2009/06/05 | 2009/12/30 | 95.00          |
| 64436    | HK Bank – HSI R Bear CBBC Dec 2009 L                            | 380,000,000  | 2009/06/05 | 2009/12/30 | 95.00          |
| 64437    | HK Bank – HSI R Bear CBBC Jan 2010 E                            | 380,000,000  | 2009/06/05 | 2010/01/28 | 95.00          |
| 64438    | HK Bank – HSI R Bear CBBC Apr 2010 A                            | 380,000,000  | 2009/06/05 | 2010/04/29 | 95.00          |
| 64464    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 I        | 208,000,000  | 2009/06/05 | 2009/10/29 | 52.00          |
| 64465    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 V        | 248,000,000  | 2009/06/05 | 2009/11/27 | 62.00          |
| 64460    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 P        | 208,000,000  | 2009/06/05 | 2009/11/27 | 52.00          |
| 64458    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Dec 2009 R        | 248,000,000  | 2009/06/05 | 2009/12/30 | 62.00          |
| 64459    | Macquarie Bank Ltd. – HSI R Bull CBBC Oct 2009 J                | 400,000,000  | 2009/06/05 | 2009/10/29 | 100.00         |
| 64424    | CC Rabobank B.A. – HSI R Bull CBBC Feb 2010 M                   | 100,000,000  | 2009/06/05 | 2010/02/25 | 25.00          |
| 64425    | CC Rabobank B.A. – HSI R Bull CBBC Feb 2010 N                   | 100,000,000  | 2009/06/05 | 2010/02/25 | 25.00          |
| 64433    | CC Rabobank B.A. – HSI R Bear CBBC Feb 2010 O                   | 100,000,000  | 2009/06/05 | 2010/02/25 | 25.00          |
| 64434    | CC Rabobank B.A. – HSI R Bear CBBC Feb 2010 P                   | 100,000,000  | 2009/06/05 | 2010/02/25 | 25.00          |
| 64435    | CC Rabobank B.A. – HSI R Bear CBBC Feb 2010 Q                   | 100,000,000  | 2009/06/05 | 2010/02/25 | 25.00          |
| 64442    | SGA Societe Generale Acceptance N.V. – BOCL R Bear CBBC Jan10B  | 200,000,000  | 2009/06/05 | 2010/01/20 | 50.00          |
| 64439    | SGA Societe Generale Acceptance N.V. – CK(H) R Bull CBBC Jan10A | 100,000,000  | 2009/06/05 | 2010/01/13 | 25.00          |
| 64443    | SGA Societe Generale Acceptance N.V. – CK(H) R Bear CBBC Jan10B | 100,000,000  | 2009/06/05 | 2010/01/13 | 25.00          |
| 64440    | SGA Societe Generale Acceptance NV – HSCEI R Bull CBBC Nov09A   | 200,000,000  | 2009/06/05 | 2009/11/27 | 50.00          |
| 64444    | SGA Societe Generale Acceptance NV – HSCEI R Bear CBBC Nov09B   | 200,000,000  | 2009/06/05 | 2009/11/27 | 50.00          |
| 64446    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09O   | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64447    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09P   | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64448    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09Q   | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64449    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09R   | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64450    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Nov09K   | 300,000,000  | 2009/06/05 | 2009/11/27 | 84.00          |
| 64451    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09S   | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64452    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09T   | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64453    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09U   | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64454    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09V   | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64455    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09W   | 300,000,000  | 2009/06/05 | 2009/12/30 | 75.00          |
| 64456    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09X   | 300,000,000  | 2009/06/05 | 2009/12/30 | 91.50          |
| 64457    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09Y   | 300,000,000  | 2009/06/05 | 2009/12/30 | 76.50          |
| 64441    | SGA Societe Generale Acceptance N.V. – SHK P R Bull CBBC Jan10A | 100,000,000  | 2009/06/05 | 2010/01/20 | 25.00          |
| 64445    | SGA Societe Generale Acceptance N.V. – SHK P R Bear CBBC Jan10B | 100,000,000  | 2009/06/05 | 2010/01/20 | 25.00          |
| 64477    | UBS AG – CNOOC R Bull CBBC Dec 2009 K                           | 200,000,000  | 2009/06/05 | 2009/12/21 | 50.00          |
| 64478    | UBS AG – HKEx R Bull CBBC Dec 2009 N                            | 300,000,000  | 2009/06/05 | 2009/12/21 | 75.00          |
| 64472    | UBS AG – HSCEI R Bull CBBC Oct 2009 R                           | 200,000,000  | 2009/06/05 | 2009/10/29 | 50.00          |
| 64474    | UBS AG – HSI R Bull CBBC Sep 2009 B                             | 300,000,000  | 2009/06/05 | 2009/09/29 | 75.00          |
| 64473    | UBS AG – HSI R Bull CBBC Sep 2009 Z                             | 300,000,000  | 2009/06/05 | 2009/09/29 | 75.00          |
| 64475    | UBS AG – HSI R Bull CBBC Oct 2009 T                             | 300,000,000  | 2009/06/05 | 2009/10/29 | 75.00          |
| 64476    | UBS AG – HSI R Bull CBBC Dec 2009 O                             | 400,000,000  | 2009/06/05 | 2009/12/30 | 100.00         |
| 64481    | UBS AG – HSI R Bear CBBC Sep 2009 N                             | 300,000,000  | 2009/06/05 | 2009/09/29 | 75.00          |
| 64482    | UBS AG – HSI R Bear CBBC Sep 2009 R                             | 300,000,000  | 2009/06/05 | 2009/09/29 | 75.00          |
| 64463    | UBS AG – HSI R Bear CBBC Sep 2009 X                             | 300,000,000  | 2009/06/05 | 2009/09/29 | 75.00          |
| 64483    | UBS AG – HSI R Bear CBBC Sep 2009 Y                             | 300,000,000  | 2009/06/05 | 2009/09/29 | 75.00          |
| 64480    | UBS AG – HSI R Bear CBBC Dec 2009 L                             | 400,000,000  | 2009/06/05 | 2009/12/30 | 100.00         |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                       | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 64479    | UBS AG – Petrochina R Bull CBBC Dec 2009 F                | 200,000,000  | 2009/06/05 | 2009/12/21 | 50.00          |
| 64568    | ABN AMRO Bank N.V. – China Mobile R Bull CBBC Nov 2009 A  | 80,000,000   | 2009/06/08 | 2009/11/19 | 20.08          |
| 64572    | ABN AMRO Bank N.V. – China Mobile R Bear CBBC Nov 2009 B  | 80,000,000   | 2009/06/08 | 2009/11/19 | 20.00          |
| 64567    | ABN AMRO Bank N.V. – CC Bank R Bull CBBC Nov 2009 A       | 80,000,000   | 2009/06/08 | 2009/11/19 | 20.00          |
| 64571    | ABN AMRO Bank N.V. – CC Bank R Bear CBBC Nov 2009 B       | 80,000,000   | 2009/06/08 | 2009/11/19 | 20.00          |
| 64569    | ABN AMRO Bank N.V. – Ch Life R Bear CBBC Nov 2009 A       | 80,000,000   | 2009/06/08 | 2009/11/19 | 49.20          |
| 64570    | ABN AMRO Bank N.V. – HSBC R Bear CBBC Oct 2009 A          | 80,000,000   | 2009/06/08 | 2009/10/28 | 20.08          |
| 64580    | ABN AMRO Bank N.V. – HSCEI R Bull CBBC Dec 2009 A         | 250,000,000  | 2009/06/08 | 2009/12/30 | 67.00          |
| 64581    | ABN AMRO Bank N.V. – HSCEI R Bull CBBC Dec 2009 B         | 250,000,000  | 2009/06/08 | 2009/12/30 | 63.00          |
| 64582    | ABN AMRO Bank N.V. – HSCEI R Bear CBBC Dec 2009 C         | 250,000,000  | 2009/06/08 | 2009/12/30 | 62.75          |
| 64583    | ABN AMRO Bank N.V. – HSCEI R Bear CBBC Dec 2009 D         | 250,000,000  | 2009/06/08 | 2009/12/30 | 62.75          |
| 64573    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 F           | 250,000,000  | 2009/06/08 | 2009/12/30 | 62.75          |
| 64574    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 G           | 250,000,000  | 2009/06/08 | 2009/12/30 | 62.75          |
| 64575    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 H           | 250,000,000  | 2009/06/08 | 2009/12/30 | 64.00          |
| 64576    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 I           | 250,000,000  | 2009/06/08 | 2009/12/30 | 63.00          |
| 64577    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 H           | 250,000,000  | 2009/06/08 | 2009/11/27 | 63.00          |
| 64578    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 I           | 250,000,000  | 2009/06/08 | 2009/11/27 | 63.75          |
| 64579    | ABN AMRO Bank N.V. – HSI R Bear CBBC Nov 2009 J           | 250,000,000  | 2009/06/08 | 2009/11/27 | 66.50          |
| 64546    | BNP Paribas Arbit Issu B.V. – HKEx R Bear CBBC Jan 2010 B | 100,000,000  | 2009/06/08 | 2010/01/29 | 30.00          |
| 64513    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 Q  | 300,000,000  | 2009/06/08 | 2010/01/28 | 75.00          |
| 64522    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 R  | 300,000,000  | 2009/06/08 | 2010/01/28 | 75.00          |
| 64523    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 S  | 300,000,000  | 2009/06/08 | 2010/01/28 | 75.00          |
| 64543    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Feb 2010 F  | 300,000,000  | 2009/06/08 | 2010/02/25 | 75.00          |
| 64526    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 B  | 300,000,000  | 2009/06/08 | 2009/12/30 | 75.00          |
| 64524    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 F  | 300,000,000  | 2009/06/08 | 2009/12/30 | 75.00          |
| 64545    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 H  | 300,000,000  | 2009/06/08 | 2009/12/30 | 75.00          |
| 64525    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 N  | 300,000,000  | 2009/06/08 | 2009/12/30 | 75.00          |
| 64544    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 T  | 300,000,000  | 2009/06/08 | 2009/12/30 | 75.00          |
| 64562    | Deutsche Bank AG – China Mobile R Bull CBBC Nov 2009 A    | 150,000,000  | 2009/06/08 | 2009/11/23 | 37.50          |
| 64560    | Deutsche Bank AG – China Life R Bull CBBC Dec 2009 A      | 150,000,000  | 2009/06/08 | 2009/12/07 | 60.00          |
| 64561    | Deutsche Bank AG – China Life R Bull CBBC Dec 2009 B      | 150,000,000  | 2009/06/08 | 2009/12/07 | 45.00          |
| 64563    | Deutsche Bank AG – CNOOC R Bull CBBC Nov 2009 C           | 150,000,000  | 2009/06/08 | 2009/11/16 | 40.50          |
| 64564    | Deutsche Bank AG – A50 China R Bull CBBC Nov 2009 B       | 150,000,000  | 2009/06/08 | 2009/11/16 | 39.00          |
| 64565    | Deutsche Bank AG – HSI R Bull CBBC Nov 2009 O             | 300,000,000  | 2009/06/08 | 2009/11/27 | 75.00          |
| 64527    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 E             | 300,000,000  | 2009/06/08 | 2010/01/28 | 81.00          |
| 64528    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 J             | 300,000,000  | 2009/06/08 | 2010/01/28 | 78.00          |
| 64529    | Deutsche Bank AG – HSI R Bull CBBC Jan 2010 O             | 300,000,000  | 2009/06/08 | 2010/01/28 | 75.00          |
| 64530    | Deutsche Bank AG – HSI R Bear CBBC Mar 2010 D             | 300,000,000  | 2009/06/08 | 2010/03/30 | 84.00          |
| 64531    | Deutsche Bank AG – HSI R Bear CBBC Mar 2010 E             | 300,000,000  | 2009/06/08 | 2010/03/30 | 93.00          |
| 64532    | Deutsche Bank AG – HSI R Bear CBBC Mar 2010 F             | 300,000,000  | 2009/06/08 | 2010/03/30 | 99.00          |
| 64533    | Deutsche Bank AG – HSI R Bear CBBC Mar 2010 G             | 300,000,000  | 2009/06/08 | 2010/03/30 | 120.00         |
| 64534    | Deutsche Bank AG – HSI R Bear CBBC Mar 2010 H             | 300,000,000  | 2009/06/08 | 2010/03/30 | 132.00         |
| 64566    | Deutsche Bank AG – HSI R Bear CBBC Mar 2010 I             | 300,000,000  | 2009/06/08 | 2010/03/30 | 120.00         |
| 64584    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 E      | 200,000,000  | 2009/06/08 | 2010/02/25 | 50.00          |
| 64585    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 F      | 200,000,000  | 2009/06/08 | 2010/02/25 | 50.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64586    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 G            | 200,000,000  | 2009/06/08 | 2010/02/25 | 50.00          |
| 64587    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 H            | 200,000,000  | 2009/06/08 | 2010/02/25 | 50.00          |
| 64588    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 I            | 200,000,000  | 2009/06/08 | 2010/02/25 | 50.00          |
| 64589    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 J            | 200,000,000  | 2009/06/08 | 2010/02/25 | 50.00          |
| 64590    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 K            | 200,000,000  | 2009/06/08 | 2010/02/25 | 50.00          |
| 64591    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 L            | 200,000,000  | 2009/06/08 | 2010/02/25 | 50.00          |
| 64540    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 K        | 208,000,000  | 2009/06/08 | 2009/10/29 | 52.00          |
| 64541    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 Y        | 248,000,000  | 2009/06/08 | 2009/11/27 | 62.00          |
| 64559    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Dec 2009 S        | 248,000,000  | 2009/06/08 | 2009/12/30 | 62.00          |
| 64511    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 G        | 248,000,000  | 2009/06/08 | 2009/10/29 | 62.00          |
| 64535    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Mar 2010 C        | 308,000,000  | 2009/06/08 | 2010/03/30 | 77.00          |
| 64542    | KBC Fin Products Int'l Ltd. – SHK Ppt R Bear CBBC Jan 2010 A    | 188,000,000  | 2009/06/08 | 2010/01/15 | 67.68          |
| 64512    | Macquarie Bank Ltd. – HSI R Bull CBBC Oct 2009 K                | 400,000,000  | 2009/06/08 | 2009/10/29 | 100.00         |
| 64490    | Macquarie Bank Ltd. – HSI R Bear CBBC Nov 2009 I                | 400,000,000  | 2009/06/08 | 2009/11/27 | 100.00         |
| 64509    | CC Rabobank B.A. – HSI R Bull CBBC Mar 2010 I                   | 100,000,000  | 2009/06/08 | 2010/03/30 | 28.00          |
| 64510    | CC Rabobank B.A. – HSI R Bull CBBC Mar 2010 J                   | 100,000,000  | 2009/06/08 | 2010/03/30 | 25.00          |
| 64514    | CC Rabobank B.A. – HSI R Bear CBBC Mar 2010 K                   | 100,000,000  | 2009/06/08 | 2010/03/30 | 25.00          |
| 64515    | CC Rabobank B.A. – HSI R Bear CBBC Mar 2010 L                   | 100,000,000  | 2009/06/08 | 2010/03/30 | 25.00          |
| 64516    | CC Rabobank B.A. – HSI R Bear CBBC Mar 2010 M                   | 100,000,000  | 2009/06/08 | 2010/03/30 | 28.00          |
| 64517    | CC Rabobank B.A. – HSI R Bear CBBC Mar 2010 N                   | 100,000,000  | 2009/06/08 | 2010/03/30 | 30.00          |
| 64518    | CC Rabobank B.A. – HSI R Bear CBBC Mar 2010 O                   | 100,000,000  | 2009/06/08 | 2010/03/30 | 35.00          |
| 64519    | CC Rabobank B.A. – HSI R Bear CBBC Mar 2010 P                   | 100,000,000  | 2009/06/08 | 2010/03/30 | 37.00          |
| 64520    | CC Rabobank B.A. – HSI R Bear CBBC Mar 2010 Q                   | 100,000,000  | 2009/06/08 | 2010/03/30 | 40.00          |
| 64521    | CC Rabobank B.A. – HSI R Bear CBBC Mar 2010 R                   | 100,000,000  | 2009/06/08 | 2010/03/30 | 42.00          |
| 64499    | SGA Societe Generale Acceptance N.V. – CCHC R Bull CBBC Jan10C  | 100,000,000  | 2009/06/08 | 2010/01/13 | 32.00          |
| 64503    | SGA Societe Generale Acceptance N.V. – CCHC R Bear CBBC Jan10D  | 100,000,000  | 2009/06/08 | 2010/01/13 | 35.00          |
| 64500    | SGA Societe Generale Acceptance N.V. – CMB R Bull CBBC Feb10A   | 100,000,000  | 2009/06/08 | 2010/02/10 | 39.00          |
| 64501    | SGA Societe Generale Acceptance N.V. – HKEx R Bull CBBC Jan10C  | 200,000,000  | 2009/06/08 | 2010/01/13 | 50.00          |
| 64505    | SGA Societe Generale Acceptance N.V. – HKEx R Bear CBBC Jan10D  | 200,000,000  | 2009/06/08 | 2010/01/13 | 50.00          |
| 64504    | SGA Societe Generale Acceptance N.V. – HS Bk R Bear CBBC Feb10A | 100,000,000  | 2009/06/08 | 2010/02/10 | 30.00          |
| 64496    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09C   | 300,000,000  | 2009/06/08 | 2009/12/30 | 102.00         |
| 64497    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09D   | 300,000,000  | 2009/06/08 | 2009/12/30 | 84.00          |
| 64498    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09G   | 300,000,000  | 2009/06/08 | 2009/12/30 | 108.00         |
| 64492    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09J   | 300,000,000  | 2009/06/08 | 2009/12/30 | 75.00          |
| 64494    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09M   | 300,000,000  | 2009/06/08 | 2009/12/30 | 96.00          |
| 64495    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09N   | 300,000,000  | 2009/06/08 | 2009/12/30 | 79.50          |
| 64491    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Dec09Z   | 300,000,000  | 2009/06/08 | 2009/12/30 | 90.00          |
| 64502    | SGA Societe Generale Acceptance NV – JiangC R Bull CBBC Feb10A  | 100,000,000  | 2009/06/08 | 2010/02/10 | 39.00          |
| 64506    | SGA Societe Generale Acceptance NV – JiangC R Bear CBBC Feb10B  | 100,000,000  | 2009/06/08 | 2010/02/10 | 52.00          |
| 64507    | SGA Societe Generale Acceptance N.V. – TCH R Bear CBBC Feb10A   | 100,000,000  | 2009/06/08 | 2010/02/10 | 34.00          |
| 64594    | UBS AG – China Mobile R Bull CBBC Dec 2009 J                    | 300,000,000  | 2009/06/08 | 2009/12/14 | 75.00          |
| 64592    | UBS AG – China Life R Bull CBBC Dec 2009 G                      | 300,000,000  | 2009/06/08 | 2009/12/14 | 75.00          |
| 64599    | UBS AG – China Life R Bear CBBC Dec 2009 H                      | 300,000,000  | 2009/06/08 | 2009/12/14 | 234.00         |
| 64593    | UBS AG – CM Bank R Bull CBBC Dec 2009 A                         | 200,000,000  | 2009/06/08 | 2009/12/14 | 63.00          |
| 64595    | UBS AG – CNOOC R Bull CBBC Dec 2009 L                           | 200,000,000  | 2009/06/08 | 2009/12/21 | 50.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                  | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|------------------------------------------------------|--------------|------------|------------|----------------|
| 64601    | UBS AG – A50 China R Bull CBBC Dec 2009 L            | 300,000,000  | 2009/06/08 | 2009/12/14 | 75.00          |
| 64600    | UBS AG – HKEx R Bull CBBC Dec 2009 O                 | 300,000,000  | 2009/06/08 | 2009/12/14 | 75.00          |
| 64536    | UBS AG – HSCEI R Bull CBBC Nov 2009 O                | 200,000,000  | 2009/06/08 | 2009/11/27 | 50.00          |
| 64537    | UBS AG – HSCEI R Bear CBBC Dec 2009 C                | 200,000,000  | 2009/06/08 | 2009/12/30 | 67.00          |
| 64538    | UBS AG – HSCEI R Bear CBBC Dec 2009 D                | 200,000,000  | 2009/06/08 | 2009/12/30 | 59.00          |
| 64547    | UBS AG – HSI R Bull CBBC Sep 2009 C                  | 300,000,000  | 2009/06/08 | 2009/09/29 | 75.00          |
| 64548    | UBS AG – HSI R Bull CBBC Dec 2009 T                  | 300,000,000  | 2009/06/08 | 2009/12/30 | 75.00          |
| 64549    | UBS AG – HSI R Bull CBBC Jan 2010 G                  | 300,000,000  | 2009/06/08 | 2010/01/28 | 75.00          |
| 64550    | UBS AG – HSI R Bull CBBC Feb 2010 W                  | 300,000,000  | 2009/06/08 | 2010/02/25 | 75.00          |
| 64551    | UBS AG – HSI R Bull CBBC Mar 2010 Y                  | 400,000,000  | 2009/06/08 | 2010/03/30 | 100.00         |
| 64539    | UBS AG – HSI R Bear CBBC Sep 2009 O                  | 300,000,000  | 2009/06/08 | 2009/09/29 | 75.00          |
| 64508    | UBS AG – HSI R Bear CBBC Oct 2009 V                  | 300,000,000  | 2009/06/08 | 2009/10/29 | 75.00          |
| 64554    | UBS AG – HSI R Bear CBBC Jan 2010 H                  | 300,000,000  | 2009/06/08 | 2010/01/28 | 112.50         |
| 64555    | UBS AG – HSI R Bear CBBC Jan 2010 P                  | 300,000,000  | 2009/06/08 | 2010/01/28 | 142.50         |
| 64556    | UBS AG – HSI R Bear CBBC Feb 2010 U                  | 300,000,000  | 2009/06/08 | 2010/02/25 | 124.50         |
| 64557    | UBS AG – HSI R Bear CBBC Feb 2010 V                  | 300,000,000  | 2009/06/08 | 2010/02/25 | 154.50         |
| 64558    | UBS AG – HSI R Bear CBBC Mar 2010 Z                  | 400,000,000  | 2009/06/08 | 2010/03/30 | 100.00         |
| 64552    | UBS AG – HSI R Bear CBBC Apr 2010 N                  | 400,000,000  | 2009/06/08 | 2010/04/29 | 100.00         |
| 64553    | UBS AG – HSI R Bear CBBC Apr 2010 O                  | 400,000,000  | 2009/06/08 | 2010/04/29 | 100.00         |
| 64596    | UBS AG – ICBC R Bull CBBC Nov 2009 D                 | 200,000,000  | 2009/06/08 | 2009/11/23 | 50.00          |
| 64597    | UBS AG – Petrochina R Bull CBBC Dec 2009 G           | 200,000,000  | 2009/06/08 | 2009/12/21 | 50.00          |
| 64598    | UBS AG – Ping An R Bull CBBC Nov 2009 A              | 200,000,000  | 2009/06/08 | 2009/11/23 | 50.00          |
| 64608    | ABN AMRO Bank N.V. – HSCEI R Bull CBBC Dec 2009 E    | 250,000,000  | 2009/06/09 | 2009/12/30 | 62.50          |
| 64611    | ABN AMRO Bank N.V. – HSCEI R Bear CBBC Dec 2009 F    | 250,000,000  | 2009/06/09 | 2009/12/30 | 62.75          |
| 64612    | ABN AMRO Bank N.V. – HSCEI R Bear CBBC Dec 2009 G    | 250,000,000  | 2009/06/09 | 2009/12/30 | 62.75          |
| 64606    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 J      | 250,000,000  | 2009/06/09 | 2009/12/30 | 62.50          |
| 64607    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 K      | 250,000,000  | 2009/06/09 | 2009/12/30 | 62.75          |
| 64613    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 L      | 250,000,000  | 2009/06/09 | 2009/12/30 | 78.25          |
| 64614    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 M      | 250,000,000  | 2009/06/09 | 2009/12/30 | 62.50          |
| 64615    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 N      | 250,000,000  | 2009/06/09 | 2009/12/30 | 76.25          |
| 64602    | Barclays Bank plc – HSI R Bear CBBC Dec 2009 E       | 500,000,000  | 2009/06/09 | 2009/12/30 | 130.00         |
| 64603    | Barclays Bank plc – HSI R Bear CBBC Dec 2009 F       | 500,000,000  | 2009/06/09 | 2009/12/30 | 133.00         |
| 64635    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 X        | 300,000,000  | 2009/06/09 | 2010/02/25 | 84.00          |
| 64636    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 Y        | 300,000,000  | 2009/06/09 | 2010/02/25 | 75.00          |
| 64639    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 J        | 300,000,000  | 2009/06/09 | 2009/10/29 | 75.00          |
| 64640    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 M        | 300,000,000  | 2009/06/09 | 2009/10/29 | 81.00          |
| 64641    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 Z        | 300,000,000  | 2009/06/09 | 2009/10/29 | 87.00          |
| 64638    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 V        | 300,000,000  | 2009/06/09 | 2009/12/30 | 132.00         |
| 64637    | Deutsche Bank AG – HSI R Bear CBBC Dec 2009 Z        | 300,000,000  | 2009/06/09 | 2009/12/30 | 120.00         |
| 64647    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 M | 200,000,000  | 2009/06/09 | 2010/02/25 | 50.00          |
| 64648    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 N | 200,000,000  | 2009/06/09 | 2010/02/25 | 50.00          |
| 64609    | HK Bank – HSI R Bull CBBC Dec 2009 M                 | 150,000,000  | 2009/06/09 | 2009/12/30 | 37.50          |
| 64610    | HK Bank – HSI R Bull CBBC Dec 2009 N                 | 150,000,000  | 2009/06/09 | 2009/12/30 | 37.50          |
| 64616    | HK Bank – HSI R Bear CBBC Dec 2009 O                 | 280,000,000  | 2009/06/09 | 2009/12/30 | 70.00          |
| 64617    | HK Bank – HSI R Bear CBBC Mar 2010 B                 | 280,000,000  | 2009/06/09 | 2010/03/30 | 70.00          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64618    | HK Bank – HSI R Bear CBBC Apr 2010 B                            | 280,000,000  | 2009/06/09 | 2010/04/29 | 70.00          |
| 64646    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Nov 2009 H       | 188,000,000  | 2009/06/09 | 2009/11/10 | 47.00          |
| 64631    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 P        | 208,000,000  | 2009/06/09 | 2009/09/29 | 52.00          |
| 64632    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Sep 2009 S        | 168,000,000  | 2009/06/09 | 2009/09/29 | 42.00          |
| 64633    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 Q        | 248,000,000  | 2009/06/09 | 2009/10/29 | 62.00          |
| 64634    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 Z        | 208,000,000  | 2009/06/09 | 2009/11/27 | 52.00          |
| 64605    | Macquarie Bank Ltd. – HSI R Bear CBBC Nov 2009 J                | 400,000,000  | 2009/06/09 | 2009/11/27 | 100.00         |
| 64604    | Macquarie Bank Ltd. – HSI R Bear CBBC Dec 2009 F                | 400,000,000  | 2009/06/09 | 2009/12/30 | 100.00         |
| 64619    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 L                   | 100,000,000  | 2009/06/09 | 2009/12/30 | 25.00          |
| 64620    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 M                   | 100,000,000  | 2009/06/09 | 2009/12/30 | 25.00          |
| 64621    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 N                   | 100,000,000  | 2009/06/09 | 2009/12/30 | 25.00          |
| 64624    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 O                   | 100,000,000  | 2009/06/09 | 2009/12/30 | 25.00          |
| 64625    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 P                   | 100,000,000  | 2009/06/09 | 2009/12/30 | 25.00          |
| 64626    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 Q                   | 100,000,000  | 2009/06/09 | 2009/12/30 | 30.00          |
| 64627    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 R                   | 100,000,000  | 2009/06/09 | 2009/12/30 | 25.00          |
| 64628    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 S                   | 100,000,000  | 2009/06/09 | 2009/12/30 | 25.00          |
| 64622    | CC Rabobank B.A. – HSI R Bear CBBC Jan 2010 P                   | 100,000,000  | 2009/06/09 | 2010/01/28 | 25.00          |
| 64623    | CC Rabobank B.A. – HSI R Bear CBBC Jan 2010 Q                   | 100,000,000  | 2009/06/09 | 2010/01/28 | 35.00          |
| 64644    | UBS AG – China Life R Bull CBBC Dec 2009 I                      | 300,000,000  | 2009/06/09 | 2009/12/14 | 75.00          |
| 64645    | UBS AG – CM Bank R Bull CBBC Dec 2009 B                         | 200,000,000  | 2009/06/09 | 2009/12/14 | 66.00          |
| 64629    | UBS AG – HSI R Bull CBBC Sep 2009 P                             | 300,000,000  | 2009/06/09 | 2009/09/29 | 75.00          |
| 64630    | UBS AG – HSI R Bull CBBC Nov 2009 J                             | 300,000,000  | 2009/06/09 | 2009/11/27 | 75.00          |
| 64643    | UBS AG – HSI R Bear CBBC Oct 2009 F                             | 300,000,000  | 2009/06/09 | 2009/10/29 | 75.00          |
| 64642    | UBS AG – HSI R Bear CBBC Oct 2009 W                             | 300,000,000  | 2009/06/09 | 2009/10/29 | 75.00          |
| 64281    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Nov09H   | 200,000,000  | 2009/06/09 | 2009/11/27 | 29.80          |
| 64690    | BNP Paribas Arbit Issu B.V. – HSCEI R Bull CBBC Jan 2010 A      | 200,000,000  | 2009/06/10 | 2010/01/28 | 50.00          |
| 64691    | BNP Paribas Arbit Issu B.V. – HSCEI R Bear CBBC Dec 2009 B      | 200,000,000  | 2009/06/10 | 2009/12/30 | 50.00          |
| 64692    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 T        | 300,000,000  | 2009/06/10 | 2010/01/28 | 75.00          |
| 64693    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 Q        | 300,000,000  | 2009/06/10 | 2009/12/30 | 75.00          |
| 64685    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 I                   | 300,000,000  | 2009/06/10 | 2009/10/29 | 84.00          |
| 64686    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 T                   | 300,000,000  | 2009/06/10 | 2009/10/29 | 75.00          |
| 64687    | Deutsche Bank AG – HSI R Bear CBBC Apr 2010 A                   | 300,000,000  | 2009/06/10 | 2010/04/29 | 114.00         |
| 64688    | Deutsche Bank AG – HSI R Bear CBBC Apr 2010 B                   | 300,000,000  | 2009/06/10 | 2010/04/29 | 138.00         |
| 64689    | Deutsche Bank AG – HSI R Bear CBBC Apr 2010 C                   | 300,000,000  | 2009/06/10 | 2010/04/29 | 153.00         |
| 64651    | SGA Societe Generale Acceptance N.V. – CMob R Bull CBBC Jan10A  | 200,000,000  | 2009/06/10 | 2010/01/13 | 50.00          |
| 64652    | SGA Societe Generale Acceptance N.V. – CMob R Bear CBBC Jan10B  | 200,000,000  | 2009/06/10 | 2010/01/13 | 50.00          |
| 64649    | SGA Societe Generale Acceptance N.V. – CLife R Bull CBBC Jan10B | 100,000,000  | 2009/06/10 | 2010/01/20 | 63.00          |
| 64650    | SGA Societe Generale Acceptance N.V. – CLife R Bull CBBC Jan10C | 100,000,000  | 2009/06/10 | 2010/01/20 | 53.00          |
| 64656    | SGA Societe Generale Acceptance N.V. – A50 R Bull CBBC Jan10A   | 100,000,000  | 2009/06/10 | 2010/01/20 | 29.00          |
| 64657    | SGA Societe Generale Acceptance N.V. – A50 R Bull CBBC Jan10B   | 100,000,000  | 2009/06/10 | 2010/01/20 | 25.00          |
| 64658    | SGA Societe Generale Acceptance N.V. – A50 R Bear CBBC Jan10C   | 100,000,000  | 2009/06/10 | 2010/01/20 | 25.00          |
| 64659    | SGA Societe Generale Acceptance N.V. – A50 R Bear CBBC Jan10D   | 100,000,000  | 2009/06/10 | 2010/01/20 | 25.00          |
| 64660    | SGA Societe Generale Acceptance N.V. – A50 R Bear CBBC Jan10E   | 100,000,000  | 2009/06/10 | 2010/01/20 | 33.00          |
| 64661    | SGA Societe Generale Acceptance N.V. – A50 R Bear CBBC Jan10F   | 100,000,000  | 2009/06/10 | 2010/01/20 | 38.00          |
| 64653    | SGA Societe Generale Acceptance N.V. – HKEx R Bear CBBC Jan10E  | 200,000,000  | 2009/06/10 | 2010/01/13 | 50.00          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64654    | SGA Societe Generale Acceptance N.V. – HKEx R Bear CBBC Jan10F  | 200,000,000  | 2009/06/10 | 2010/01/13 | 52.00          |
| 64655    | SGA Societe Generale Acceptance N.V. – HKEx R Bear CBBC Jan10G  | 200,000,000  | 2009/06/10 | 2010/01/13 | 64.00          |
| 64662    | SGA Societe Generale Acceptance N.V. – HSBC R Bear CBBC Jan10B  | 200,000,000  | 2009/06/10 | 2010/01/20 | 50.00          |
| 64663    | SGA Societe Generale Acceptance N.V. – HSBC R Bear CBBC Jan10C  | 200,000,000  | 2009/06/10 | 2010/01/20 | 50.00          |
| 64664    | SGA Societe Generale Acceptance N.V. – HSBC R Bear CBBC Jan10D  | 200,000,000  | 2009/06/10 | 2010/01/20 | 50.00          |
| 64665    | SGA Societe Generale Acceptance N.V. – HSBC R Bear CBBC Jan10E  | 200,000,000  | 2009/06/10 | 2010/01/20 | 50.00          |
| 64669    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10A   | 300,000,000  | 2009/06/10 | 2010/01/28 | 75.00          |
| 64670    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10B   | 300,000,000  | 2009/06/10 | 2010/01/28 | 75.00          |
| 64671    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10C   | 300,000,000  | 2009/06/10 | 2010/01/28 | 75.00          |
| 64672    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10D   | 300,000,000  | 2009/06/10 | 2010/01/28 | 75.00          |
| 64673    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10E   | 300,000,000  | 2009/06/10 | 2010/01/28 | 75.00          |
| 64674    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10F   | 300,000,000  | 2009/06/10 | 2010/01/28 | 75.00          |
| 64675    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10G   | 300,000,000  | 2009/06/10 | 2010/01/28 | 75.00          |
| 64676    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10H   | 300,000,000  | 2009/06/10 | 2010/01/28 | 75.00          |
| 64666    | SGA Societe Generale Acceptance N.V. – PetCh R Bear CBBC Jan10C | 100,000,000  | 2009/06/10 | 2010/01/13 | 25.00          |
| 64667    | SGA Societe Generale Acceptance N.V. – PetCh R Bear CBBC Jan10D | 100,000,000  | 2009/06/10 | 2010/01/13 | 25.00          |
| 64668    | SGA Societe Generale Acceptance N.V. – PetCh R Bear CBBC Jan10E | 100,000,000  | 2009/06/10 | 2010/01/13 | 30.00          |
| 64679    | UBS AG – CNOOC R Bull CBBC Dec 2009 M                           | 200,000,000  | 2009/06/10 | 2009/12/28 | 50.00          |
| 64680    | UBS AG – HSCEI R Bull CBBC Nov 2009 P                           | 200,000,000  | 2009/06/10 | 2009/11/27 | 50.00          |
| 64681    | UBS AG – HSI R Bull CBBC Oct 2009 X                             | 300,000,000  | 2009/06/10 | 2009/10/29 | 75.00          |
| 64682    | UBS AG – HSI R Bull CBBC Jan 2010 V                             | 400,000,000  | 2009/06/10 | 2010/01/28 | 100.00         |
| 64683    | UBS AG – HSI R Bull CBBC Jan 2010 W                             | 300,000,000  | 2009/06/10 | 2010/01/28 | 75.00          |
| 64677    | UBS AG – HSI R Bear CBBC Oct 2009 P                             | 300,000,000  | 2009/06/10 | 2009/10/29 | 75.00          |
| 64678    | UBS AG – Ping An R Bull CBBC Dec 2009 B                         | 200,000,000  | 2009/06/10 | 2009/12/28 | 50.00          |
| 64684    | UBS AG – Ping An R Bear CBBC Dec 2009 C                         | 200,000,000  | 2009/06/10 | 2009/12/28 | 50.00          |
| 64699    | Deutsche Bank AG – CNOOC R Bear CBBC Nov 2009 D                 | 150,000,000  | 2009/06/11 | 2009/11/23 | 73.50          |
| 64700    | Deutsche Bank AG – HKEx R Bear CBBC Nov 2009 E                  | 150,000,000  | 2009/06/11 | 2009/11/23 | 69.00          |
| 64702    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 C                   | 300,000,000  | 2009/06/11 | 2010/02/25 | 78.00          |
| 64701    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 Z                   | 300,000,000  | 2009/06/11 | 2010/02/25 | 75.00          |
| 64698    | KBC Fin Products Int'l Ltd. – HKEx R Bull CBBC Nov 2009 I       | 188,000,000  | 2009/06/11 | 2009/11/10 | 47.00          |
| 64697    | UBS AG – HS Bank R Bear CBBC Dec 2009 G                         | 200,000,000  | 2009/06/11 | 2009/12/28 | 50.00          |
| 64694    | UBS AG – HSI R Bull CBBC Oct 2009 H                             | 300,000,000  | 2009/06/11 | 2009/10/29 | 75.00          |
| 64695    | UBS AG – HSI R Bull CBBC Jan 2010 S                             | 400,000,000  | 2009/06/11 | 2010/01/28 | 100.00         |
| 64696    | UBS AG – HSI R Bear CBBC Sep 2009 Q                             | 300,000,000  | 2009/06/11 | 2009/09/29 | 75.00          |
| 64711    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 E        | 300,000,000  | 2009/06/12 | 2009/12/30 | 75.00          |
| 64712    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 S                   | 300,000,000  | 2009/06/12 | 2009/10/29 | 78.00          |
| 64703    | SGA Societe Generale Acceptance NV – BOC HK R Bull CBBC Jan10A  | 100,000,000  | 2009/06/12 | 2010/01/20 | 38.00          |
| 64707    | SGA Societe Generale Acceptance NV – BOC HK R Bear CBBC Jan10B  | 100,000,000  | 2009/06/12 | 2010/01/20 | 43.00          |
| 64706    | SGA Societe Generale Acceptance N.V. – CCoal R Bear CBBC Jan10C | 100,000,000  | 2009/06/12 | 2010/01/13 | 30.00          |
| 64704    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10I   | 500,000,000  | 2009/06/12 | 2010/01/28 | 125.00         |
| 64705    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10J   | 500,000,000  | 2009/06/12 | 2010/01/28 | 125.00         |
| 64708    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10K   | 500,000,000  | 2009/06/12 | 2010/01/28 | 125.00         |
| 64709    | UBS AG – HSI R Bull CBBC Sep 2009 X                             | 300,000,000  | 2009/06/12 | 2009/09/29 | 75.00          |
| 64710    | UBS AG – HSI R Bear CBBC Oct 2009 Y                             | 300,000,000  | 2009/06/12 | 2009/10/29 | 75.00          |
| 64716    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 O                 | 250,000,000  | 2009/06/15 | 2009/12/30 | 62.50          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                           | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|---------------------------------------------------------------|--------------|------------|------------|----------------|
| 64718    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 P               | 250,000,000  | 2009/06/15 | 2009/12/30 | 62.50          |
| 64733    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 K                 | 300,000,000  | 2009/06/15 | 2009/10/29 | 84.00          |
| 64729    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 O                 | 300,000,000  | 2009/06/15 | 2009/10/29 | 75.00          |
| 64719    | KBC Fin Products Int'l Ltd. – HSBC R Bear CBBC Jan 2010 B     | 148,000,000  | 2009/06/15 | 2010/01/11 | 37.00          |
| 64720    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 N      | 208,000,000  | 2009/06/15 | 2009/11/27 | 52.00          |
| 64713    | SGA Societe Generale Acceptance NV – HSCEI R Bull CBBC Dec09A | 200,000,000  | 2009/06/15 | 2009/12/30 | 50.00          |
| 64717    | SGA Societe Generale Acceptance NV – HSCEI R Bear CBBC Dec09B | 200,000,000  | 2009/06/15 | 2009/12/30 | 50.00          |
| 64723    | UBS AG – China Mobile R Bear CBBC Dec 2009 K                  | 300,000,000  | 2009/06/15 | 2009/12/28 | 93.00          |
| 64722    | UBS AG – CM Bank R Bear CBBC Dec 2009 C                       | 200,000,000  | 2009/06/15 | 2009/12/28 | 136.00         |
| 64721    | UBS AG – CNOOC R Bear CBBC Dec 2009 N                         | 200,000,000  | 2009/06/15 | 2009/12/28 | 72.00          |
| 64724    | UBS AG – Sinopec Corp R Bear CBBC Dec 2009 C                  | 200,000,000  | 2009/06/15 | 2009/12/28 | 50.00          |
| 64725    | UBS AG – HKEx R Bear CBBC Dec 2009 P                          | 300,000,000  | 2009/06/15 | 2009/12/28 | 75.00          |
| 64726    | UBS AG – HKEx R Bear CBBC Jan 2010 I                          | 300,000,000  | 2009/06/15 | 2010/01/25 | 136.50         |
| 64727    | UBS AG – HSBC R Bear CBBC Dec 2009 K                          | 300,000,000  | 2009/06/15 | 2009/12/28 | 75.00          |
| 64714    | UBS AG – HSI R Bull CBBC Sep 2009 C                           | 300,000,000  | 2009/06/15 | 2009/09/29 | 75.00          |
| 64715    | UBS AG – HSI R Bear CBBC Dec 2009 Q                           | 300,000,000  | 2009/06/15 | 2009/12/30 | 75.00          |
| 64728    | UBS AG – Petrochina R Bear CBBC Dec 2009 H                    | 200,000,000  | 2009/06/15 | 2009/12/28 | 61.00          |
| 64732    | BOCI Asia Ltd. – HSI R Bull CBBC Dec 2009 A                   | 200,000,000  | 2009/06/16 | 2009/12/30 | 50.00          |
| 64737    | BOCI Asia Ltd. – HSI R Bear CBBC Dec 2009 B                   | 200,000,000  | 2009/06/16 | 2009/12/30 | 50.00          |
| 64744    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Feb 2010 G      | 300,000,000  | 2009/06/16 | 2010/02/25 | 75.00          |
| 64738    | Deutsche Bank AG – China Life R Bear CBBC Dec 2009 C          | 150,000,000  | 2009/06/16 | 2009/12/14 | 51.00          |
| 64736    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 L                 | 300,000,000  | 2009/06/16 | 2009/10/29 | 78.00          |
| 64740    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 P                 | 300,000,000  | 2009/06/16 | 2009/10/29 | 75.00          |
| 64746    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 M                 | 300,000,000  | 2009/06/16 | 2010/01/28 | 81.00          |
| 64745    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 Q                 | 300,000,000  | 2009/06/16 | 2010/01/28 | 75.00          |
| 64747    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 O          | 200,000,000  | 2009/06/16 | 2010/02/25 | 50.00          |
| 64751    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 P          | 200,000,000  | 2009/06/16 | 2010/02/25 | 50.00          |
| 64734    | HK Bank – HSI R Bear CBBC Dec 2009 P                          | 380,000,000  | 2009/06/16 | 2009/12/30 | 95.00          |
| 64741    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 L      | 208,000,000  | 2009/06/16 | 2009/10/29 | 52.00          |
| 64730    | Merrill Lynch Int'l & Co. C.V. – HSI R Bull CBBC Mar 2010 A   | 300,000,000  | 2009/06/16 | 2010/03/30 | 75.00          |
| 64731    | Merrill Lynch Int'l & Co. C.V. – HSI R Bear CBBC Feb 2010 A   | 300,000,000  | 2009/06/16 | 2010/02/25 | 75.00          |
| 64742    | UBS AG – HSCEI R Bear CBBC Nov 2009 Q                         | 200,000,000  | 2009/06/16 | 2009/11/27 | 50.00          |
| 64735    | UBS AG – HSI R Bull CBBC Sep 2009 B                           | 300,000,000  | 2009/06/16 | 2009/09/29 | 75.00          |
| 64739    | UBS AG – HSI R Bull CBBC Oct 2009 V                           | 300,000,000  | 2009/06/16 | 2009/10/29 | 75.00          |
| 64743    | UBS AG – HSI R Bear CBBC Oct 2009 M                           | 300,000,000  | 2009/06/16 | 2009/10/29 | 75.00          |
| 64766    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 Q               | 250,000,000  | 2009/06/17 | 2009/12/30 | 62.50          |
| 64767    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 R               | 250,000,000  | 2009/06/17 | 2009/12/30 | 62.50          |
| 64754    | Deutsche Bank AG – China Life R Bull CBBC Dec 2009 D          | 150,000,000  | 2009/06/17 | 2009/12/21 | 52.50          |
| 64755    | Deutsche Bank AG – A50 China R Bear CBBC Dec 2009 A           | 150,000,000  | 2009/06/17 | 2009/12/21 | 60.00          |
| 64749    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 E                 | 300,000,000  | 2009/06/17 | 2009/10/29 | 78.00          |
| 64750    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 F                 | 300,000,000  | 2009/06/17 | 2009/10/29 | 75.00          |
| 64756    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 E                 | 300,000,000  | 2009/06/17 | 2010/02/25 | 78.00          |
| 64757    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 F                 | 300,000,000  | 2009/06/17 | 2010/02/25 | 75.00          |
| 64763    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 Q          | 200,000,000  | 2009/06/17 | 2010/02/25 | 50.00          |
| 64764    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 R          | 200,000,000  | 2009/06/17 | 2010/02/25 | 50.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                      | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 64765    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 S     | 200,000,000  | 2009/06/17 | 2010/02/25 | 50.00          |
| 64758    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Sep 2009 V | 248,000,000  | 2009/06/17 | 2009/09/29 | 62.00          |
| 64759    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Sep 2009 Y | 208,000,000  | 2009/06/17 | 2009/09/29 | 52.00          |
| 64760    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 K | 208,000,000  | 2009/06/17 | 2009/10/29 | 52.00          |
| 64761    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 P | 208,000,000  | 2009/06/17 | 2009/11/27 | 52.00          |
| 64762    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Dec 2009 T | 308,000,000  | 2009/06/17 | 2009/12/30 | 77.00          |
| 64752    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 G | 208,000,000  | 2009/06/17 | 2009/10/29 | 52.00          |
| 64753    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 O | 208,000,000  | 2009/06/17 | 2009/11/27 | 52.00          |
| 64770    | UBS AG – China Mobile R Bull CBBC Dec 2009 L             | 300,000,000  | 2009/06/17 | 2009/12/28 | 75.00          |
| 64768    | UBS AG – China Life R Bull CBBC Dec 2009 J               | 300,000,000  | 2009/06/17 | 2009/12/28 | 81.00          |
| 64769    | UBS AG – China Life R Bear CBBC Jan 2010 C               | 300,000,000  | 2009/06/17 | 2010/01/25 | 282.00         |
| 64774    | UBS AG – A50 China R Bull CBBC Dec 2009 M                | 300,000,000  | 2009/06/17 | 2009/12/28 | 75.00          |
| 64775    | UBS AG – A50 China R Bear CBBC Jan 2010 D                | 300,000,000  | 2009/06/17 | 2010/01/25 | 133.50         |
| 64771    | UBS AG – HKEx R Bull CBBC Dec 2009 Q                     | 300,000,000  | 2009/06/17 | 2009/12/28 | 75.00          |
| 64772    | UBS AG – HSBC R Bull CBBC Dec 2009 L                     | 300,000,000  | 2009/06/17 | 2009/12/28 | 75.00          |
| 64776    | UBS AG – HSI R Bull CBBC Sep 2009 P                      | 300,000,000  | 2009/06/17 | 2009/09/29 | 75.00          |
| 64777    | UBS AG – HSI R Bull CBBC Oct 2009 P                      | 300,000,000  | 2009/06/17 | 2009/10/29 | 75.00          |
| 64748    | UBS AG – HSI R Bear CBBC Oct 2009 W                      | 300,000,000  | 2009/06/17 | 2009/10/29 | 75.00          |
| 64773    | UBS AG – Petrochina R Bull CBBC Dec 2009 I               | 200,000,000  | 2009/06/17 | 2009/12/28 | 50.00          |
| 64789    | ABN AMRO Bank N.V. – A50 China R Bull CBBC Dec 2009 A    | 80,000,000   | 2009/06/18 | 2009/12/21 | 22.48          |
| 64790    | ABN AMRO Bank N.V. – A50 China R Bull CBBC Dec 2009 B    | 80,000,000   | 2009/06/18 | 2009/12/21 | 20.00          |
| 64792    | ABN AMRO Bank N.V. – A50 China R Bear CBBC Nov 2009 A    | 80,000,000   | 2009/06/18 | 2009/11/23 | 20.00          |
| 64793    | ABN AMRO Bank N.V. – A50 China R Bear CBBC Dec 2009 C    | 80,000,000   | 2009/06/18 | 2009/12/21 | 22.88          |
| 64791    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 S          | 250,000,000  | 2009/06/18 | 2009/12/30 | 62.50          |
| 64778    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 U | 300,000,000  | 2009/06/18 | 2010/01/28 | 75.00          |
| 64779    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Jan 2010 V | 300,000,000  | 2009/06/18 | 2010/01/28 | 75.00          |
| 64785    | UBS AG – BOCL R Bear CBBC Dec 2009 E                     | 200,000,000  | 2009/06/18 | 2009/12/14 | 50.00          |
| 64786    | UBS AG – CM Bank R Bull CBBC Dec 2009 D                  | 200,000,000  | 2009/06/18 | 2009/12/28 | 70.00          |
| 64787    | UBS AG – HKEx R Bull CBBC Dec 2009 R                     | 300,000,000  | 2009/06/18 | 2009/12/28 | 75.00          |
| 64780    | UBS AG – HSI R Bull CBBC Sep 2009 O                      | 300,000,000  | 2009/06/18 | 2009/09/29 | 75.00          |
| 64788    | UBS AG – HSI R Bull CBBC Oct 2009 X                      | 400,000,000  | 2009/06/18 | 2009/10/29 | 100.00         |
| 64781    | UBS AG – HSI R Bull CBBC Nov 2009 K                      | 300,000,000  | 2009/06/18 | 2009/11/27 | 75.00          |
| 64782    | UBS AG – HSI R Bull CBBC Feb 2010 X                      | 400,000,000  | 2009/06/18 | 2010/02/25 | 100.00         |
| 64783    | UBS AG – HSI R Bear CBBC Dec 2009 T                      | 400,000,000  | 2009/06/18 | 2009/12/30 | 100.00         |
| 64784    | UBS AG – HSI R Bear CBBC Jan 2010 X                      | 400,000,000  | 2009/06/18 | 2010/01/28 | 100.00         |
| 64423    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 A          | 150,000,000  | 2009/06/18 | 2009/12/30 | 18.75          |
| 64818    | BNP Paribas Arbit Issu B.V. – HSI R Bull CBBC Feb 2010 H | 300,000,000  | 2009/06/19 | 2010/02/25 | 75.00          |
| 64827    | Deutsche Bank AG – CC Bank R Bear CBBC Dec 2009 C        | 150,000,000  | 2009/06/19 | 2009/12/14 | 54.00          |
| 64829    | Deutsche Bank AG – HKEx R Bull CBBC Dec 2009 A           | 150,000,000  | 2009/06/19 | 2009/12/14 | 37.50          |
| 64819    | Deutsche Bank AG – HSI R Bull CBBC Oct 2009 Y            | 300,000,000  | 2009/06/19 | 2009/10/29 | 75.00          |
| 64828    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 G            | 300,000,000  | 2009/06/19 | 2009/10/29 | 75.00          |
| 64820    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 H            | 300,000,000  | 2009/06/19 | 2009/11/27 | 81.00          |
| 64822    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 X            | 300,000,000  | 2009/06/19 | 2010/01/28 | 87.00          |
| 64830    | Deutsche Bank AG – ICBC R Bear CBBC Dec 2009 A           | 150,000,000  | 2009/06/19 | 2009/12/14 | 60.00          |
| 64831    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 T     | 200,000,000  | 2009/06/19 | 2010/02/25 | 50.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64826    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Mar 2010 D        | 308,000,000  | 2009/06/19 | 2010/03/30 | 77.00          |
| 64813    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 I        | 208,000,000  | 2009/06/19 | 2009/10/29 | 52.00          |
| 64794    | Macquarie Bank Ltd. – HSI R Bull CBBC Oct 2009 L                | 400,000,000  | 2009/06/19 | 2009/10/29 | 100.00         |
| 64814    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 T                   | 100,000,000  | 2009/06/19 | 2009/12/30 | 31.00          |
| 64815    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 U                   | 100,000,000  | 2009/06/19 | 2009/12/30 | 29.00          |
| 64816    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 V                   | 100,000,000  | 2009/06/19 | 2009/12/30 | 27.00          |
| 64817    | CC Rabobank B.A. – HSI R Bull CBBC Dec 2009 W                   | 100,000,000  | 2009/06/19 | 2009/12/30 | 25.00          |
| 64821    | CC Rabobank B.A. – HSI R Bear CBBC Dec 2009 X                   | 100,000,000  | 2009/06/19 | 2009/12/30 | 25.00          |
| 64798    | SGA Societe Generale Acceptance N.V. – CUni R Bull CBBC Jan10B  | 100,000,000  | 2009/06/19 | 2010/01/20 | 34.00          |
| 64799    | SGA Societe Generale Acceptance N.V. – CUni R Bear CBBC Jan10C  | 100,000,000  | 2009/06/19 | 2010/01/20 | 32.00          |
| 64795    | SGA Societe Generale Acceptance N.V. – CCB R Bull CBBC Jan10B   | 100,000,000  | 2009/06/19 | 2010/01/20 | 25.00          |
| 64796    | SGA Societe Generale Acceptance N.V. – CCB R Bear CBBC Jan10C   | 100,000,000  | 2009/06/19 | 2010/01/20 | 25.00          |
| 64797    | SGA Societe Generale Acceptance N.V. – CLife R Bull CBBC Jan10D | 100,000,000  | 2009/06/19 | 2010/01/20 | 45.00          |
| 64802    | SGA Societe Generale Acceptance N.V. – A50 R Bull CBBC Jan10G   | 100,000,000  | 2009/06/19 | 2010/01/20 | 25.00          |
| 64800    | SGA Societe Generale Acceptance N.V. – HKEx R Bull CBBC Jan10H  | 200,000,000  | 2009/06/19 | 2010/01/13 | 50.00          |
| 64803    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10L   | 500,000,000  | 2009/06/19 | 2010/01/28 | 125.00         |
| 64804    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10M   | 500,000,000  | 2009/06/19 | 2010/01/28 | 125.00         |
| 64805    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10N   | 300,000,000  | 2009/06/19 | 2010/01/28 | 75.00          |
| 64806    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10O   | 300,000,000  | 2009/06/19 | 2010/01/28 | 75.00          |
| 64807    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10P   | 500,000,000  | 2009/06/19 | 2010/01/28 | 125.00         |
| 64808    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10Q   | 500,000,000  | 2009/06/19 | 2010/01/28 | 125.00         |
| 64809    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10R   | 500,000,000  | 2009/06/19 | 2010/01/28 | 125.00         |
| 64810    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10S   | 500,000,000  | 2009/06/19 | 2010/01/28 | 125.00         |
| 64811    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10T   | 500,000,000  | 2009/06/19 | 2010/01/28 | 125.00         |
| 64801    | SGA Societe Generale Acceptance N.V. – ICBC R Bear CBBC Jan10A  | 200,000,000  | 2009/06/19 | 2010/01/13 | 50.00          |
| 64824    | UBS AG – HSI R Bull CBBC Sep 2009 N                             | 300,000,000  | 2009/06/19 | 2009/09/29 | 75.00          |
| 64825    | UBS AG – HSI R Bull CBBC Sep 2009 Q                             | 300,000,000  | 2009/06/19 | 2009/09/29 | 75.00          |
| 64812    | UBS AG – HSI R Bear CBBC Oct 2009 F                             | 300,000,000  | 2009/06/19 | 2009/10/29 | 75.00          |
| 64823    | UBS AG – ICBC R Bull CBBC Dec 2009 A                            | 300,000,000  | 2009/06/19 | 2009/12/28 | 75.00          |
| 64836    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 T                 | 250,000,000  | 2009/06/22 | 2009/12/30 | 62.50          |
| 64837    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 U                 | 250,000,000  | 2009/06/22 | 2009/12/30 | 62.50          |
| 64838    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 V                 | 250,000,000  | 2009/06/22 | 2009/12/30 | 62.50          |
| 64842    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 W                 | 250,000,000  | 2009/06/22 | 2009/12/30 | 62.50          |
| 64848    | Deutsche Bank AG – CC Bank R Bull CBBC Dec 2009 D               | 150,000,000  | 2009/06/22 | 2009/12/21 | 37.50          |
| 64849    | Deutsche Bank AG – HKEx R Bear CBBC Dec 2009 B                  | 150,000,000  | 2009/06/22 | 2009/12/14 | 37.50          |
| 64850    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 H                   | 300,000,000  | 2009/06/22 | 2009/10/29 | 81.00          |
| 64851    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 J                   | 300,000,000  | 2009/06/22 | 2009/10/29 | 75.00          |
| 64852    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 M                   | 300,000,000  | 2009/06/22 | 2009/10/29 | 87.00          |
| 64846    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 U            | 200,000,000  | 2009/06/22 | 2010/02/25 | 50.00          |
| 64847    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 V            | 200,000,000  | 2009/06/22 | 2010/02/25 | 50.00          |
| 64839    | Macquarie Bank Ltd. – HSI R Bear CBBC Dec 2009 G                | 400,000,000  | 2009/06/22 | 2009/12/30 | 100.00         |
| 64832    | SGA Societe Generale Acceptance NV – CHALCO R Bull CBBC Jan10D  | 100,000,000  | 2009/06/22 | 2010/01/20 | 27.00          |
| 64834    | SGA Societe Generale Acceptance N.V. – CMob R Bear CBBC Jan10C  | 200,000,000  | 2009/06/22 | 2010/01/13 | 50.00          |
| 64835    | SGA Societe Generale Acceptance N.V. – COVS R Bear CBBC Jan10A  | 100,000,000  | 2009/06/22 | 2010/01/13 | 51.00          |
| 64833    | SGA Societe Generale Acceptance N.V. – CMB R Bear CBBC Feb10B   | 100,000,000  | 2009/06/22 | 2010/02/10 | 42.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                            | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64844    | UBS AG – China Mobile R Bear CBBC Dec 2009 M                   | 300,000,000  | 2009/06/22 | 2009/12/28 | 75.00          |
| 64843    | UBS AG – CC Bank R Bull CBBC Dec 2009 H                        | 200,000,000  | 2009/06/22 | 2009/12/28 | 50.00          |
| 64840    | UBS AG – HSI R Bull CBBC Oct 2009 Y                            | 300,000,000  | 2009/06/22 | 2009/10/29 | 75.00          |
| 64845    | UBS AG – HSI R Bear CBBC Oct 2009 H                            | 300,000,000  | 2009/06/22 | 2009/10/29 | 75.00          |
| 64841    | UBS AG – HSI R Bear CBBC Jan 2010 I                            | 300,000,000  | 2009/06/22 | 2010/01/28 | 75.00          |
| 64873    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 X                | 250,000,000  | 2009/06/23 | 2009/12/30 | 62.50          |
| 64862    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Dec 2009 G       | 300,000,000  | 2009/06/23 | 2009/12/30 | 75.00          |
| 64863    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Feb 2010 I       | 300,000,000  | 2009/06/23 | 2010/02/25 | 75.00          |
| 64864    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Feb 2010 J       | 300,000,000  | 2009/06/23 | 2010/02/25 | 75.00          |
| 64866    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 K                  | 300,000,000  | 2009/06/23 | 2009/10/29 | 84.00          |
| 64865    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 Z                  | 300,000,000  | 2009/06/23 | 2009/10/29 | 75.00          |
| 64867    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 M                  | 300,000,000  | 2009/06/23 | 2009/11/27 | 90.00          |
| 64868    | Deutsche Bank AG – HSI R Bear CBBC Feb 2010 G                  | 300,000,000  | 2009/06/23 | 2010/02/25 | 78.00          |
| 64872    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 W           | 200,000,000  | 2009/06/23 | 2010/02/25 | 50.00          |
| 64856    | HK Bank – China Mobile R Bear CBBC Dec 2009 A                  | 120,000,000  | 2009/06/23 | 2009/12/18 | 30.00          |
| 64855    | HK Bank – CC Bank R Bear CBBC Feb 2010 A                       | 120,000,000  | 2009/06/23 | 2010/02/18 | 30.00          |
| 64860    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 M       | 208,000,000  | 2009/06/23 | 2009/10/29 | 52.00          |
| 64861    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 Y       | 248,000,000  | 2009/06/23 | 2009/11/27 | 62.00          |
| 64853    | CC Rabobank B.A. – HKEx R Bull CBBC Jan 2010 A                 | 100,000,000  | 2009/06/23 | 2010/01/28 | 25.00          |
| 64854    | CC Rabobank B.A. – HKEx R Bull CBBC Jan 2010 B                 | 100,000,000  | 2009/06/23 | 2010/01/28 | 25.00          |
| 64858    | CC Rabobank B.A. – HKEx R Bear CBBC Jan 2010 C                 | 100,000,000  | 2009/06/23 | 2010/01/28 | 25.00          |
| 64859    | CC Rabobank B.A. – HKEx R Bear CBBC Jan 2010 D                 | 100,000,000  | 2009/06/23 | 2010/01/28 | 25.00          |
| 64874    | UBS AG – China Life R Bear CBBC Dec 2009 K                     | 300,000,000  | 2009/06/23 | 2009/12/28 | 75.00          |
| 64875    | UBS AG – CM Bank R Bear CBBC Dec 2009 E                        | 200,000,000  | 2009/06/23 | 2009/12/28 | 65.00          |
| 64857    | UBS AG – HSI R Bull CBBC Sep 2009 B                            | 300,000,000  | 2009/06/23 | 2009/09/29 | 75.00          |
| 64869    | UBS AG – HSI R Bear CBBC Sep 2009 C                            | 300,000,000  | 2009/06/23 | 2009/09/29 | 75.00          |
| 64870    | UBS AG – HSI R Bear CBBC Sep 2009 X                            | 300,000,000  | 2009/06/23 | 2009/09/29 | 75.00          |
| 64871    | UBS AG – HSI R Bear CBBC Oct 2009 M                            | 300,000,000  | 2009/06/23 | 2009/10/29 | 75.00          |
| 64876    | UBS AG – Petrochina R Bear CBBC Dec 2009 J                     | 200,000,000  | 2009/06/23 | 2009/12/28 | 50.00          |
| 64904    | BNP Paribas Arbit Issu B.V. – A50 R Bear CBBC Dec 2009 B       | 100,000,000  | 2009/06/24 | 2009/12/30 | 38.00          |
| 64899    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 J                  | 300,000,000  | 2009/06/24 | 2010/01/28 | 75.00          |
| 64900    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 O                  | 300,000,000  | 2009/06/24 | 2010/01/28 | 81.00          |
| 64901    | Deutsche Bank AG – HSI R Bear CBBC Mar 2010 J                  | 300,000,000  | 2009/06/24 | 2010/03/30 | 75.00          |
| 64877    | Macquarie Bank Ltd. – HSI R Bear CBBC Oct 2009 M               | 300,000,000  | 2009/06/24 | 2009/10/29 | 75.00          |
| 64889    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09H  | 300,000,000  | 2009/06/24 | 2009/12/30 | 81.00          |
| 64890    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09I  | 300,000,000  | 2009/06/24 | 2009/12/30 | 78.00          |
| 64891    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10U  | 500,000,000  | 2009/06/24 | 2010/01/28 | 125.00         |
| 64892    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10V  | 500,000,000  | 2009/06/24 | 2010/01/28 | 125.00         |
| 64897    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10E  | 300,000,000  | 2009/06/24 | 2010/01/28 | 75.00          |
| 64893    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10W  | 300,000,000  | 2009/06/24 | 2010/01/28 | 75.00          |
| 64894    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10X  | 300,000,000  | 2009/06/24 | 2010/01/28 | 75.00          |
| 64895    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10Y  | 300,000,000  | 2009/06/24 | 2010/01/28 | 75.00          |
| 64896    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10Z  | 500,000,000  | 2009/06/24 | 2010/01/28 | 125.00         |
| 64898    | SGA Societe Generale Acceptance N.V. – ICBC R Bear CBBC Jan10B | 200,000,000  | 2009/06/24 | 2010/01/13 | 50.00          |
| 64903    | UBS AG – BOCL R Bull CBBC Dec 2009 F                           | 200,000,000  | 2009/06/24 | 2009/12/28 | 50.00          |



# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                           | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|---------------------------------------------------------------|--------------|------------|------------|----------------|
| 64878    | UBS AG – China Life R Bear CBBC Jan 2010 D                    | 300,000,000  | 2009/06/24 | 2010/01/25 | 303.00         |
| 64879    | UBS AG – China Life R Bear CBBC Dec 2010 A                    | 300,000,000  | 2009/06/24 | 2010/12/28 | 91.50          |
| 64881    | UBS AG – CNOOC R Bear CBBC Dec 2010 A                         | 200,000,000  | 2009/06/24 | 2010/12/28 | 50.00          |
| 64882    | UBS AG – CNOOC R Bear CBBC Dec 2010 B                         | 200,000,000  | 2009/06/24 | 2010/12/28 | 50.00          |
| 64880    | UBS AG – Sinopec Corp R Bear CBBC Dec 2010 A                  | 200,000,000  | 2009/06/24 | 2010/12/28 | 50.00          |
| 64883    | UBS AG – HSBC R Bear CBBC Dec 2010 A                          | 300,000,000  | 2009/06/24 | 2010/12/28 | 75.00          |
| 64884    | UBS AG – HSBC R Bear CBBC Dec 2010 B                          | 300,000,000  | 2009/06/24 | 2010/12/28 | 75.00          |
| 64886    | UBS AG – HSI R Bull CBBC Oct 2009 P                           | 300,000,000  | 2009/06/24 | 2009/10/29 | 75.00          |
| 64902    | UBS AG – HSI R Bear CBBC Oct 2009 W                           | 300,000,000  | 2009/06/24 | 2009/10/29 | 75.00          |
| 64888    | UBS AG – HSI R Bear CBBC Dec 2009 O                           | 300,000,000  | 2009/06/24 | 2009/12/30 | 75.00          |
| 64887    | UBS AG – HSI R Bear CBBC Jan 2010 Q                           | 300,000,000  | 2009/06/24 | 2010/01/28 | 75.00          |
| 64885    | UBS AG – SHK Ppt R Bear CBBC Jan 2010 I                       | 200,000,000  | 2009/06/24 | 2010/01/25 | 50.00          |
| 64922    | ABN AMRO Bank N.V. – A50 China R Bull CBBC Dec 2009 D         | 80,000,000   | 2009/06/25 | 2009/12/21 | 20.00          |
| 64921    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 F               | 250,000,000  | 2009/06/25 | 2009/12/30 | 62.50          |
| 64925    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 G               | 250,000,000  | 2009/06/25 | 2009/12/30 | 62.50          |
| 64907    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 I               | 250,000,000  | 2009/06/25 | 2009/12/30 | 62.50          |
| 64905    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 Y               | 250,000,000  | 2009/06/25 | 2009/12/30 | 62.50          |
| 64906    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 Z               | 250,000,000  | 2009/06/25 | 2009/12/30 | 62.50          |
| 64911    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Feb 2010 K      | 300,000,000  | 2009/06/25 | 2010/02/25 | 75.00          |
| 64909    | Deutsche Bank AG – HSI R Bear CBBC Oct 2009 O                 | 300,000,000  | 2009/06/25 | 2009/10/29 | 75.00          |
| 64910    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 O                 | 300,000,000  | 2009/06/25 | 2009/11/27 | 75.00          |
| 64912    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 X          | 200,000,000  | 2009/06/25 | 2010/02/25 | 50.00          |
| 64913    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 Y          | 200,000,000  | 2009/06/25 | 2010/02/25 | 50.00          |
| 64918    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Nov 2009 V      | 248,000,000  | 2009/06/25 | 2009/11/27 | 62.00          |
| 64919    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Dec 2009 U      | 400,000,000  | 2009/06/25 | 2009/12/30 | 100.00         |
| 64920    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Jan 2010 G      | 400,000,000  | 2009/06/25 | 2010/01/28 | 100.00         |
| 64917    | UBS AG – A50 China R Bull CBBC Dec 2009 N                     | 300,000,000  | 2009/06/25 | 2009/12/28 | 75.00          |
| 64908    | UBS AG – HSI R Bull CBBC Oct 2009 V                           | 300,000,000  | 2009/06/25 | 2009/10/29 | 75.00          |
| 64914    | UBS AG – HSI R Bear CBBC Sep 2009 P                           | 300,000,000  | 2009/06/25 | 2009/09/29 | 75.00          |
| 64915    | UBS AG – HSI R Bear CBBC Oct 2009 X                           | 300,000,000  | 2009/06/25 | 2009/10/29 | 75.00          |
| 64916    | UBS AG – HSI R Bear CBBC Nov 2009 J                           | 300,000,000  | 2009/06/25 | 2009/11/27 | 75.00          |
| 64940    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 D                 | 300,000,000  | 2009/06/26 | 2010/02/25 | 75.00          |
| 64939    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 Q      | 208,000,000  | 2009/06/26 | 2009/10/29 | 52.00          |
| 64923    | Merrill Lynch Int'l & Co. C.V. – HSI R Bull CBBC Jan 2010 A   | 300,000,000  | 2009/06/26 | 2010/01/28 | 81.00          |
| 64924    | Merrill Lynch Int'l & Co. C.V. – HSI R Bull CBBC Jan 2010 B   | 300,000,000  | 2009/06/26 | 2010/01/28 | 78.00          |
| 64926    | Merrill Lynch Int'l & Co. C.V. – HSI R Bull CBBC Jan 2010 C   | 100,000,000  | 2009/06/26 | 2010/01/28 | 25.00          |
| 64930    | Merrill Lynch Int'l & Co. C.V. – HSI R Bear CBBC Jan 2010 D   | 300,000,000  | 2009/06/26 | 2010/01/28 | 75.00          |
| 64927    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09K | 300,000,000  | 2009/06/26 | 2009/12/30 | 75.00          |
| 64928    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Dec09L | 300,000,000  | 2009/06/26 | 2009/12/30 | 75.00          |
| 64929    | SGA Societe Generale Acceptance N.V. – HSI R Bull CBBC Jan10F | 500,000,000  | 2009/06/26 | 2010/01/28 | 125.00         |
| 64935    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10A | 300,000,000  | 2009/06/26 | 2010/01/28 | 75.00          |
| 64933    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10C | 300,000,000  | 2009/06/26 | 2010/01/28 | 75.00          |
| 64934    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10D | 500,000,000  | 2009/06/26 | 2010/01/28 | 125.00         |
| 64931    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10G | 300,000,000  | 2009/06/26 | 2010/01/28 | 75.00          |
| 64932    | SGA Societe Generale Acceptance N.V. – HSI R Bear CBBC Jan10H | 300,000,000  | 2009/06/26 | 2010/01/28 | 75.00          |

# 主板 可收回牛熊證

| 股份<br>代號 | 牛熊證                                                             | 上市時之<br>發行單位 | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|----------|-----------------------------------------------------------------|--------------|------------|------------|----------------|
| 64962    | ABN AMRO Bank N.V. – A50 China R Bear CBBC Dec 2009 E           | 80,000,000   | 2009/06/29 | 2009/12/21 | 24.88          |
| 64963    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 H                 | 250,000,000  | 2009/06/29 | 2009/12/30 | 62.50          |
| 64947    | Deutsche Bank AG – A50 China R Bull CBBC Dec 2009 B             | 150,000,000  | 2009/06/29 | 2009/12/28 | 37.50          |
| 64951    | Deutsche Bank AG – A50 China R Bear CBBC Dec 2009 C             | 150,000,000  | 2009/06/29 | 2009/12/28 | 57.00          |
| 64948    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 A                   | 300,000,000  | 2009/06/29 | 2010/02/25 | 81.00          |
| 64949    | Deutsche Bank AG – HSI R Bull CBBC Feb 2010 Q                   | 300,000,000  | 2009/06/29 | 2010/02/25 | 75.00          |
| 64961    | Goldman Sachs SP (Asia) – HSI R Bull CBBC Feb 2010 Z            | 200,000,000  | 2009/06/29 | 2010/02/25 | 50.00          |
| 64960    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Jan 2010 A       | 188,000,000  | 2009/06/29 | 2010/01/08 | 47.00          |
| 64950    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Oct 2009 L        | 208,000,000  | 2009/06/29 | 2009/10/29 | 52.00          |
| 64952    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Dec 2009 V        | 308,000,000  | 2009/06/29 | 2009/12/30 | 77.00          |
| 64953    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Mar 2010 E        | 400,000,000  | 2009/06/29 | 2010/03/30 | 100.00         |
| 64954    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Mar 2010 F        | 400,000,000  | 2009/06/29 | 2010/03/30 | 100.00         |
| 64944    | SGA Societe Generale Acceptance N.V. – CMob R Bear CBBC Jan10D  | 300,000,000  | 2009/06/29 | 2010/01/13 | 75.00          |
| 64943    | SGA Societe Generale Acceptance N.V. – CCHC R Bear CBBC Jan10E  | 100,000,000  | 2009/06/29 | 2010/01/13 | 34.00          |
| 64942    | SGA Societe Generale Acceptance N.V. – CCoal R Bear CBBC Jan10D | 100,000,000  | 2009/06/29 | 2010/01/13 | 28.00          |
| 64941    | SGA Societe Generale Acceptance N.V. – A50 R Bull CBBC Jan10H   | 150,000,000  | 2009/06/29 | 2010/01/20 | 37.50          |
| 64945    | SGA Societe Generale Acceptance N.V. – A50 R Bear CBBC Jan10I   | 150,000,000  | 2009/06/29 | 2010/01/20 | 45.00          |
| 64955    | UBS AG – CC Bank R Bear CBBC Jan 2010 E                         | 200,000,000  | 2009/06/29 | 2010/01/25 | 50.00          |
| 64957    | UBS AG – A50 China R Bear CBBC Jan 2010 E                       | 300,000,000  | 2009/06/29 | 2010/01/25 | 90.00          |
| 64958    | UBS AG – HSI R Bull CBBC Oct 2009 Y                             | 300,000,000  | 2009/06/29 | 2009/10/29 | 75.00          |
| 64959    | UBS AG – HSI R Bull CBBC Jan 2010 R                             | 300,000,000  | 2009/06/29 | 2010/01/28 | 75.00          |
| 64946    | UBS AG – HSI R Bear CBBC Sep 2009 Q                             | 300,000,000  | 2009/06/29 | 2009/09/29 | 75.00          |
| 64956    | UBS AG – ICBC R Bear CBBC Jan 2010 G                            | 200,000,000  | 2009/06/29 | 2010/01/25 | 50.00          |
| 64845    | UBS AG – HSI R Bear CBBC Oct 2009 H                             | 300,000,000  | 2009/06/29 | 2009/10/29 | 42.60          |
| 64977    | ABN AMRO Bank N.V. – HSI R Bull CBBC Dec 2009 J                 | 250,000,000  | 2009/06/30 | 2009/12/30 | 62.50          |
| 64981    | ABN AMRO Bank N.V. – HSI R Bear CBBC Dec 2009 K                 | 250,000,000  | 2009/06/30 | 2009/12/30 | 62.50          |
| 64985    | BNP Paribas Arbit Issu B.V. – HSI R Bear CBBC Jan 2010 W        | 300,000,000  | 2009/06/30 | 2010/01/28 | 75.00          |
| 64967    | Deutsche Bank AG – China Mobile R Bear CBBC Dec 2009 A          | 150,000,000  | 2009/06/30 | 2009/12/21 | 37.50          |
| 64966    | Deutsche Bank AG – China Life R Bear CBBC Dec 2009 E            | 150,000,000  | 2009/06/30 | 2009/12/21 | 60.00          |
| 64968    | Deutsche Bank AG – CNOOC R Bear CBBC Dec 2009 A                 | 150,000,000  | 2009/06/30 | 2009/12/21 | 52.50          |
| 64969    | Deutsche Bank AG – HSI R Bear CBBC Nov 2009 J                   | 300,000,000  | 2009/06/30 | 2009/11/27 | 78.00          |
| 64970    | Deutsche Bank AG – HSI R Bear CBBC Jan 2010 E                   | 300,000,000  | 2009/06/30 | 2010/01/28 | 75.00          |
| 64976    | Goldman Sachs SP (Asia) – HSI R Bear CBBC Feb 2010 G            | 200,000,000  | 2009/06/30 | 2010/02/25 | 50.00          |
| 64986    | KBC Fin Products Int'l Ltd. – Ch Life R Bear CBBC Nov 2009 B    | 118,000,000  | 2009/06/30 | 2009/11/02 | 55.46          |
| 64987    | KBC Fin Products Int'l Ltd. – HKEx R Bear CBBC Nov 2009 J       | 188,000,000  | 2009/06/30 | 2009/11/18 | 47.00          |
| 64978    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Dec 2009 W        | 248,000,000  | 2009/06/30 | 2009/12/30 | 62.00          |
| 64979    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Jan 2010 H        | 488,000,000  | 2009/06/30 | 2010/01/28 | 122.00         |
| 64980    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Jan 2010 I        | 488,000,000  | 2009/06/30 | 2010/01/28 | 122.00         |
| 64982    | KBC Fin Products Int'l Ltd. – HSI R Bull CBBC Mar 2010 G        | 488,000,000  | 2009/06/30 | 2010/03/30 | 122.00         |
| 64984    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Oct 2009 K        | 248,000,000  | 2009/06/30 | 2009/10/29 | 62.00          |
| 64983    | KBC Fin Products Int'l Ltd. – HSI R Bear CBBC Nov 2009 Z        | 308,000,000  | 2009/06/30 | 2009/11/27 | 77.00          |
| 64965    | Macquarie Bank Ltd. – HSI R Bear CBBC Nov 2009 K                | 400,000,000  | 2009/06/30 | 2009/11/27 | 100.00         |
| 64971    | UBS AG – China Mobile R Bear CBBC Dec 2009 N                    | 200,000,000  | 2009/06/30 | 2009/12/28 | 50.00          |
| 64972    | UBS AG – HKEx R Bear CBBC Dec 2009 S                            | 200,000,000  | 2009/06/30 | 2009/12/28 | 50.00          |
| 64974    | UBS AG – HSCEI R Bear CBBC Dec 2009 E                           | 200,000,000  | 2009/06/30 | 2009/12/30 | 50.00          |

# 主 板 可 收 回 牛 熊 證

| 股 份<br>代 號 | 牛 熊 證                               | 上 市 時 之<br>發 行 單 位 | 上 市 日 期    | 到 期 日      | 集 資 金 額<br>(百 萬 港 元) |
|------------|-------------------------------------|--------------------|------------|------------|----------------------|
| 64964      | UBS AG – HSI R Bull CBBC Oct 2009 S | 300,000,000        | 2009/06/30 | 2009/10/29 | 75.00                |
| 64975      | UBS AG – HSI R Bull CBBC Jan 2010 J | 300,000,000        | 2009/06/30 | 2010/01/28 | 75.00                |
| 64973      | UBS AG – HSI R Bear CBBC Oct 2009 T | 300,000,000        | 2009/06/30 | 2009/10/29 | 75.00                |
| 總 額        |                                     |                    |            |            | 140,519.83           |

# 股票掛鈎票據／非上市可交易股份交易統計

## 股票掛鈎票據交易統計

|      |     | 發行數目 | 成交金額(百萬港元) |
|------|-----|------|------------|
| 2008 | 第2季 | —    | —          |
|      | 第3季 | —    | —          |
|      | 第4季 | —    | —          |
| 2009 | 第1季 | —    | —          |
|      | 第2季 | —    | —          |

## Nasdaq 股份交易統計

|      |     | 發行數目 | 成交金額(百萬港元) |
|------|-----|------|------------|
| 2008 | 第2季 | 7    | 0.57       |
|      | 第3季 | 7    | 0.38       |
|      | 第4季 | 7    | 0.17       |
| 2009 | 第1季 | 7    | 0.42       |
|      | 第2季 | 7    | 0.45       |

## iShares 股份交易統計

|      |     | 發行數目 | 成交金額(百萬港元) |
|------|-----|------|------------|
| 2008 | 第2季 | 2    | 0.00       |
|      | 第3季 | 2    | 0.00       |
|      | 第4季 | 2    | 0.00       |
| 2009 | 第1季 | 2    | 0.00       |
|      | 第2季 | 2    | 0.00       |

# 創業板 股份

## 股份成交－創業板

|      |     | 股數(百萬股)    | 金額(百萬港元)  | 成交宗數    |
|------|-----|------------|-----------|---------|
| 2008 | 第2季 | 53,824.67  | 17,443.28 | 476,011 |
|      | 第3季 | 27,661.67  | 9,188.57  | 240,766 |
|      | 第4季 | 19,999.04  | 4,070.24  | 147,424 |
| 2009 | 第1季 | 23,051.11  | 4,192.12  | 153,505 |
|      | 第2季 | 116,455.92 | 19,561.73 | 605,615 |

## 創業板股份交易統計

|      |     | 交易日數 | 每日平均成交金額<br>(百萬港元) | 平均每宗交易<br>成交金額 |
|------|-----|------|--------------------|----------------|
| 2008 | 第2季 | 61   | 285.96             | 36,645         |
|      | 第3季 | 62   | 148.20             | 38,164         |
|      | 第4季 | 62   | 65.65              | 27,609         |
| 2009 | 第1季 | 60   | 69.87              | 27,309         |
|      | 第2季 | 61   | 320.68             | 32,301         |

## 20種升幅最大之創業板股份

2009年第2季

| 順次 | 股份代號  | 股份        | 收市價      |          | 升幅     |
|----|-------|-----------|----------|----------|--------|
|    |       |           | 2009年6月底 | 2009年3月底 |        |
| 1  | 08111 | 一創科技      | 0.750    | 0.079    | 849.37 |
| 2  | 08182 | 環能國際      | 0.790    | 0.102    | 674.51 |
| 3  | 08119 | 即時科研      | 0.145    | 0.023    | 530.43 |
| 4  | 08071 | 中國金屬資源    | 0.226    | 0.036    | 527.78 |
| 5  | 08009 | 菱控有限公司    | 0.760    | 0.154    | 393.51 |
| 6  | 08007 | 數碼香港      | 0.610    | 0.130    | 369.23 |
| 7  | 08301 | 明華科技      | 0.310    | 0.070    | 342.86 |
| 8  | 08233 | 中國基建港口    | 0.420    | 0.116    | 262.07 |
| 9  | 08262 | A-S CHINA | 2.450    | 0.690    | 255.07 |
| 10 | 08075 | ROJAM     | 0.122    | 0.035    | 248.57 |
| 11 | 08021 | 匯隆控股      | 0.237    | 0.071    | 233.80 |
| 12 | 08032 | 大中華科技     | 0.118    | 0.038    | 210.53 |
| 13 | 08227 | 海天天線      | 0.290    | 0.096    | 202.08 |
| 14 | 08273 | 浙江展望      | 0.930    | 0.310    | 200.00 |
| 15 | 08190 | 金望控股      | 0.090    | 0.030    | 200.00 |
| 16 | 08108 | 名家國際      | 0.150    | 0.051    | 194.12 |
| 17 | 08063 | 卓施金網      | 0.800    | 0.275    | 190.91 |
| 18 | 08166 | 藍帆科技      | 1.920    | 0.670    | 186.57 |
| 19 | 08272 | 百富國際      | 0.530    | 0.190    | 178.95 |
| 20 | 08129 | 中國生物資源    | 0.082    | 0.030    | 173.33 |

A 經調整



# 創業板 股份

## 20種跌幅最大之創業板股份

2009年第2季

| 順次 | 股份代號  | 股份              | 收市價      |          | 跌幅     |
|----|-------|-----------------|----------|----------|--------|
|    |       |                 | 2009年6月底 | 2009年3月底 |        |
| 1  | 08035 | 濱海投資            | 0.305    | 0.640    | -52.34 |
| 2  | 08055 | 中國網絡教育          | 0.232    | 0.400    | -42.00 |
| 3  | 08079 | 變靚D控股           | 0.205    | 0.275    | -25.45 |
| 4  | 08250 | 確思醫藥            | 0.026    | 0.034    | -23.53 |
| 5  | 08047 | 中國掌付            | 0.170    | 0.206    | -17.48 |
| 6  | 08172 | GOLIFE CONCEPTS | 0.098    | 0.114 A  | -14.04 |
| 7  | 08285 | 研祥智能            | 1.480    | 1.690    | -12.43 |
| 8  | 08299 | 大唐潼金            | 0.130    | 0.144 A  | -9.72  |
| 9  | 08239 | 明基能源            | 0.190    | 0.210    | -9.52  |
| 10 | 08319 | Y U S E I       | 1.750    | 1.900    | -7.89  |
| 11 | 08192 | 環球集團            | 0.112    | 0.113    | -0.88  |

A 經調整

祇有11隻股份與上季末股價比較錄得跌幅。

# 創業板 股份

## 20種成交最活躍創業板股份(金額)

2009年第2季

| 順次 | 股份代號  | 股份     | 成交金額(百萬港元) | 佔市場百份比 |
|----|-------|--------|------------|--------|
| 1  | 08199 | 威高股份   | 2,412.94   | 11.26  |
| 2  | 08250 | 確思醫藥   | 1,543.81   | 7.21   |
| 3  | 08182 | 環能國際   | 1,459.81   | 6.81   |
| 4  | 08035 | 濱海投資   | 1,185.42   | 5.53   |
| 5  | 08116 | 大地資源發展 | 1,159.53   | 5.41   |
| 6  | 08046 | 恒芯中國   | 985.40     | 4.60   |
| 7  | 08180 | 金衛醫療科技 | 922.70     | 4.31   |
| 8  | 08299 | 大唐潼金   | 805.70     | 3.76   |
| 9  | 08277 | 物美商業   | 785.20     | 3.67   |
| 10 | 08173 | 智庫媒體   | 750.47     | 3.50   |
| 11 | 08150 | 東光集團   | 667.62     | 3.12   |
| 12 | 08089 | 中國鐵路貨運 | 590.76     | 2.76   |
| 13 | 08071 | 中國金屬資源 | 581.86     | 2.72   |
| 14 | 08259 | 安德利果汁  | 516.33     | 2.41   |
| 15 | 08285 | 研祥智能   | 510.08     | 2.38   |
| 16 | 08202 | 匯創控股   | 361.57     | 1.69   |
| 17 | 08066 | 鎔聯科技   | 320.07     | 1.49   |
| 18 | 08117 | 中國基礎資源 | 313.00     | 1.46   |
| 19 | 08306 | 中國有色金屬 | 300.60     | 1.40   |
| 20 | 08329 | 海王英特龍  | 297.47     | 1.39   |
| 總額 |       |        | 16,470.33  | 76.88  |

# 創業板 股份

## 20種成交最活躍創業板股份(股數)

2009年第2季

| 順次 | 股份代號  | 股份     | 成交股數(百萬股)  | 佔市場百份比 |
|----|-------|--------|------------|--------|
| 1  | 08250 | 確思醫藥   | 48,170.26  | 38.19  |
| 2  | 08299 | 大唐潼金   | 9,104.01   | 7.22   |
| 3  | 08116 | 大地資源發展 | 6,098.56   | 4.84   |
| 4  | 08173 | 智庫媒體   | 6,067.11   | 4.81   |
| 5  | 08071 | 中國金屬資源 | 5,569.89   | 4.42   |
| 6  | 08117 | 中國基礎資源 | 5,019.86   | 3.98   |
| 7  | 08202 | 匯創控股   | 4,386.24   | 3.48   |
| 8  | 08035 | 濱海投資   | 3,452.00   | 2.74   |
| 9  | 08220 | 帝通國際   | 2,907.34   | 2.31   |
| 10 | 08182 | 環能國際   | 2,651.58   | 2.10   |
| 11 | 08017 | 百齡國際   | 2,594.99   | 2.06   |
| 12 | 08129 | 中國生物資源 | 2,273.67   | 1.80   |
| 13 | 08041 | 大陶精密科技 | 2,227.30   | 1.77   |
| 14 | 08128 | 中國地能   | 2,065.83   | 1.64   |
| 15 | 08259 | 安德利果汁  | 1,667.46   | 1.32   |
| 16 | 08167 | 天下媒體   | 1,665.99   | 1.32   |
| 17 | 08046 | 恒芯中國   | 1,600.94   | 1.27   |
| 18 | 08143 | 華夏醫療   | 1,387.27   | 1.10   |
| 19 | 08108 | 名家國際   | 1,294.13   | 1.03   |
| 20 | 08150 | 東光集團   | 794.07     | 0.63   |
| 總數 |       |        | 110,998.52 | 88.01  |

# 創業板 股份

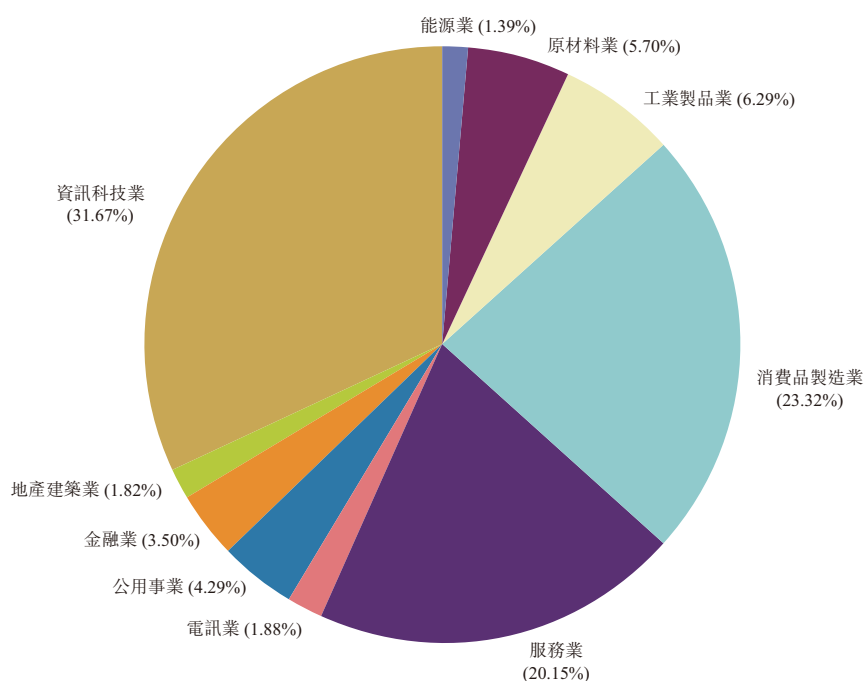
## 創業板公司市價總值

截至季末

| 百 萬 港 元 |       |            |
|---------|-------|------------|
| 2008    | 第 2 季 | 109,043.78 |
|         | 第 3 季 | 67,153.80  |
|         | 第 4 季 | 45,164.18  |
| 2009    | 第 1 季 | 46,972.81  |
|         | 第 2 季 | 73,004.28  |

## 恒生行業分類系統之證券市價總值\*－創業板

季末數字



\* 行業分類由恒生指數有限公司提供。

# 創業板 股份

## 50間市價總值最大之上市公司－創業板

截至2009年第2季季末

| 順次   | 股份代號  | 公司                     | 市價總值(百萬港元) | 佔市場總值(%) |
|------|-------|------------------------|------------|----------|
| 1    | 08199 | 山東威高集團醫用高分子製品股份有限公司－H股 | 8,519.61   | 11.67    |
| 2    | 08277 | 北京物美商業集團股份有限公司－H股      | 4,893.45   | 6.7      |
| 3    | 08150 | 東光集團有限公司               | 2,713.60   | 3.72     |
| 4    | 08161 | 華彩控股有限公司               | 2,331.68   | 3.19     |
| 5    | 08118 | 國際娛樂有限公司               | 1,957.40   | 2.68     |
| 6    | 08182 | 環能國際控股有限公司             | 1,846.14   | 2.53     |
| 7    | 08035 | 濱海投資有限公司               | 1,827.81   | 2.5      |
| 8    | 08167 | 天下媒體集團有限公司             | 1,750.00   | 2.4      |
| 9    | 08137 | 洪橋集團有限公司               | 1,740.49   | 2.38     |
| 10   | 08008 | 新意網集團有限公司              | 1,604.87   | 2.2      |
| 11   | 08052 | 利亞零售有限公司               | 1,459.83   | 2        |
| 12   | 08116 | 大地資源發展(控股)有限公司         | 1,330.83   | 1.82     |
| 13   | 08123 | 首華金融控股有限公司             | 1,137.34   | 1.56     |
| 14   | 08279 | 亞博科技控股有限公司             | 1,092.31   | 1.5      |
| 15   | 08272 | 百富國際有限公司               | 1,061.06   | 1.45     |
| 16   | 08156 | 眾彩科技股份有限公司             | 979.63     | 1.34     |
| 17   | 08069 | 北京同仁堂科技發展股份有限公司－H股     | 960.52     | 1.32     |
| 18   | 08046 | 恒芯中國控股有限公司             | 900.69     | 1.23     |
| 19   | 08070 | 中裕燃氣控股有限公司             | 870.48     | 1.19     |
| 20   | 08306 | 中國有色金屬有限公司             | 705.35     | 0.97     |
| 21   | 08005 | 裕興科技控股有限公司             | 684.1      | 0.94     |
| 22   | 08158 | 中國生物醫學再生科技有限公司         | 682.24     | 0.93     |
| 23   | 08129 | 中國生物資源控股有限公司           | 672.67     | 0.92     |
| 24   | 08259 | 烟台北方安德利果汁股份有限公司－H股     | 668.87     | 0.92     |
| 25   | 08066 | 鎔聯科技集團有限公司             | 665.7      | 0.91     |
| 26   | 08178 | 中國信息科技發展有限公司           | 655.99     | 0.9      |
| 27   | 08163 | 中建資源集團有限公司             | 655.69     | 0.9      |
| 28   | 08071 | 中國金屬資源控股有限公司           | 644.65     | 0.88     |
| 29   | 08041 | 太陶精密科技集團有限公司           | 631.69     | 0.87     |
| 30   | 08203 | 凱順能源集團有限公司             | 623.7      | 0.85     |
| 31   | 08192 | 環球集團控股有限公司             | 623.62     | 0.85     |
| 32   | 08136 | 田生集團有限公司               | 594.49     | 0.81     |
| 33   | 08153 | 中國3C集團有限公司             | 577.8      | 0.79     |
| 34   | 08089 | 中國鐵路貨運有限公司             | 575.09     | 0.79     |
| 35   | 08206 | 神州奧美網絡(國際)有限公司         | 545.55     | 0.75     |
| 36   | 08029 | 太陽國際集團有限公司             | 540.87     | 0.74     |
| 37   | 08173 | 智庫媒體集團(控股)有限公司         | 517.24     | 0.71     |
| 38   | 08212 | 問博控股有限公司               | 511.22     | 0.7      |
| 39   | 08058 | 山東羅欣藥業股份有限公司－H股        | 503.55     | 0.69     |
| 40   | 08239 | 明基能源控股有限公司             | 501.6      | 0.69     |
| 41   | 08128 | 中國地能有限公司               | 499.73     | 0.68     |
| 42   | 08285 | 研祥智能科技股份有限公司－H股        | 456.36     | 0.63     |
| 43   | 08117 | 中國基礎資源控股有限公司           | 450.85     | 0.62     |
| 44   | 08006 | 中華網科技公司                | 450.13     | 0.62     |
| 45   | 08055 | 中國網絡教育集團有限公司           | 435.89     | 0.6      |
| 46   | 08011 | 百田石油國際集團有限公司           | 432.64     | 0.59     |
| 47   | 08009 | 菱控有限公司                 | 430.35     | 0.59     |
| 48   | 08290 | 天津天聯公用事業股份有限公司－H股      | 430.05     | 0.59     |
| 49   | 08085 | 中民安園控股有限公司             | 427.34     | 0.59     |
| 50   | 08061 | 光亞有限公司                 | 415.3      | 0.57     |
| 總額   |       |                        | 56,188.06  | 76.97    |
| 市場總值 |       |                        | 73,004.28  | 100      |

# 創業板 股份

## 新上市統計－創業板公司

|      |       | 新上市公司數目 | 集資金額(百萬港元) |
|------|-------|---------|------------|
| 2008 | 第 2 季 | 2       | 216.84     |
|      | 第 3 季 | —       | —          |
|      | 第 4 季 | —       | —          |
| 2009 | 第 1 季 | —       | —          |
|      | 第 2 季 | —       | —          |

## 創業板新上市公司

2009 年第 2 季

| 股份代號 | 公司名稱 | 上市日期 | 已發行股數 | 集資金額<br>(百萬港元) |
|------|------|------|-------|----------------|
| NIL  |      |      |       |                |
| 總 額  |      |      |       | —              |

## 除牌上市公司－創業板

2009 年第 2 季

| 股份代號  | 公司名稱           | 最後買賣日期     | 除牌日期         |
|-------|----------------|------------|--------------|
| 08313 | 精英國際有限公司 *     | 2009/05/22 | 2009/05/25 § |
| 08149 | TSC 海洋集團有限公司 * | 2009/06/04 | 2009/06/05 § |
| 08180 | 金衛醫療科技有限公司 *   | 2009/06/15 | 2009/06/16 § |
| 08112 | 弘海有限公司 *       | 2009/06/19 | 2009/06/22 § |

\* 原為創業板上市公司,後引用於2008年7月1日生效的《創業板上市規則》經修訂第9.24條以及《主板上市規則》新增第9A章轉至主板上市。

§ 由創業板轉至主板的轉板生效日期。

## 創業板公司名稱更改

2009 年第 2 季

| 股份代號  | 原有名稱           | 新名稱            | 生效日期       | 採用日期       |
|-------|----------------|----------------|------------|------------|
| 08116 | 優能數碼科技(控股)有限公司 | 大地資源發展(控股)有限公司 | 2009/05/07 | 2009/06/11 |
| 08035 | 華藥燃氣控股有限公司     | 濱海投資有限公司       | 2009/05/12 | 2009/06/19 |



# 創業板 股份

## 創業板紅股／紅利認股權證

2009年第2季

| 股份代號  | 公司        | 詳情           | 除淨日        |
|-------|-----------|--------------|------------|
| 08150 | 東光集團有限公司  | 1送3          | 2009/04/29 |
| 08112 | 弘海有限公司    | 5送1          | 2009/05/22 |
| 08317 | 財華社集團有限公司 | 每供10股送3份認股權證 | 2009/06/26 |

## 創業板股份拆細及合併

2009年第2季

| 股份代號  | 公司                            | 詳情       | 生效日期       |
|-------|-------------------------------|----------|------------|
| 08172 | Golife Concepts Holdings Ltd. | 10股合併為1股 | 2009/04/06 |
| 08299 | 大唐滄金控股有限公司                    | 4股合併為1股  | 2009/05/05 |
| 08130 | 采藝多媒體控股有限公司                   | 10股合併為1股 | 2009/05/11 |
| 08041 | 大陶精密科技集團有限公司                  | 5股合併為1股  | 2009/06/01 |

## 創業板供股／公開售股

2009年第2季

| 月份 | 股份代號  | 公司名稱                          | 比率                | 集資金額<br>(百萬港元) |
|----|-------|-------------------------------|-------------------|----------------|
| 5月 | 08035 | 濱海投資有限公司                      | 公開售股1供1，每股供0.04港元 | 32.63          |
|    | 08081 | 駿科網絡訊息有限公司                    | 公開售股2供1，每股供0.15港元 | 7.86           |
| 6月 | 08172 | Golife Concepts Holdings Ltd. | 公開售股1供8，每股供0.10港元 | 55.50          |
| 總額 |       |                               |                   | 95.99          |

## 股份配售\*

| 月份   | 股份代號  | 公司名稱            | 配售股份數目        | 配售價<br>(港元) | 集資金額<br>(百萬港元) |
|------|-------|-----------------|---------------|-------------|----------------|
| 2009 |       |                 |               |             |                |
| 5月   | 08176 | 富麗花譜            | 78,720,000    | 0.200       | 15.74          |
|      | 08153 | 中國3C集團          | 50,000,000    | 0.280       | 14.00          |
|      | 08153 | 中國3C集團          | 16,500,000    | 0.320       | 5.28           |
|      | 08153 | 中國3C集團          | 8,500,000     | 0.330       | 2.81           |
|      | 08250 | 確思醫藥            | 1,200,000,000 | 0.025       | 30.00          |
|      | 08108 | 名家國際            | 182,000,000   | 0.102       | 18.56          |
|      | 08172 | GOLIFE CONCEPTS | 11,560,000    | 0.205       | 2.37           |
|      | 08299 | 大唐滄金            | 660,000,000   | 0.100       | 66.00          |
|      | 08228 | 慧峰集團            | 96,000,000    | 0.073       | 7.01           |
| 6月   | 08035 | 濱海投資            | 3,000,000,000 | 0.080       | 240.00         |
|      | 08128 | 中國地能            | 1,100,000,000 | 0.078       | 85.80          |
|      | 08256 | 金利通             | 42,856,000    | 0.056       | 2.40           |
| 總額   |       |                 |               |             | 489.97         |

\* 由於資料呈報之時差，本表所列乃為該季度臨時之股份配售數據。

\*\* 前季度之補充資料。

# 創業板 認股權證

## 認股權證交易及市價總值統計－創業板

|      |     | 數目 | 成交金額(百萬港元) | 市價總值(百萬港元) |
|------|-----|----|------------|------------|
| 2008 | 第2季 | 4  | 0.76       | 47.28      |
|      | 第3季 | 4  | 0.22       | 71.81      |
|      | 第4季 | 3  | 0.06       | 10.34      |
| 2009 | 第1季 | 1  | 0.26       | 1.49       |
|      | 第2季 | 1  | —          | 1.94       |

## 創業板新上市股份認股權證

2009年第2季

| 股份<br>代號 | 股份認股權證 | 上市時之發行<br>金額(港元) | 上市日期 | 到期日 | 集資金額<br>(百萬港元) |
|----------|--------|------------------|------|-----|----------------|
| Nil      |        |                  |      |     | —              |
| 總額       |        |                  |      |     | —              |

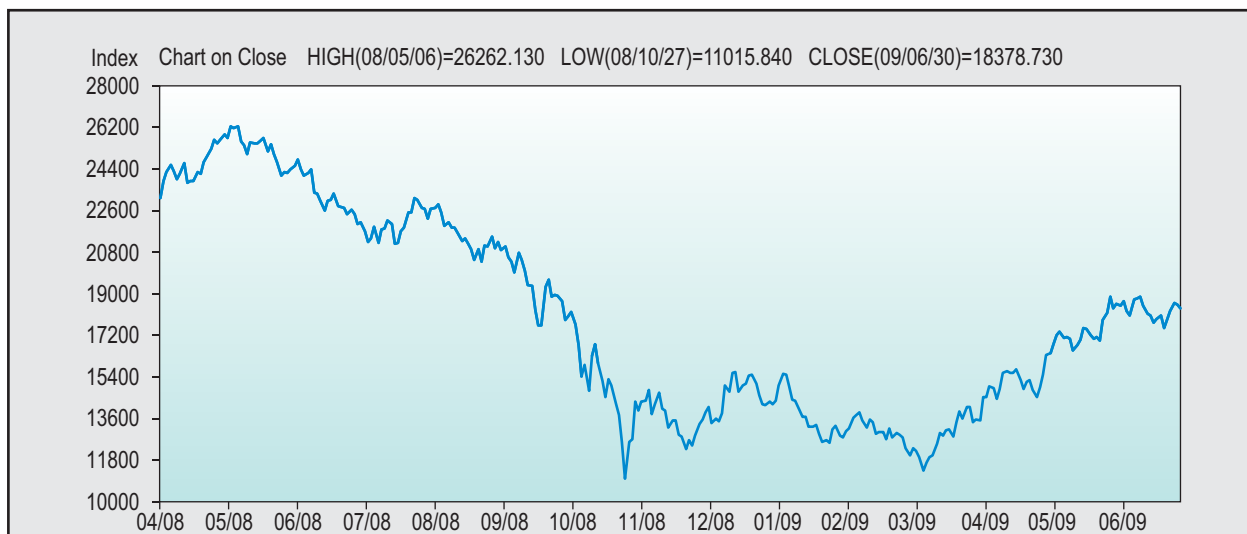
# 股票市場指數

## 香港股市指數

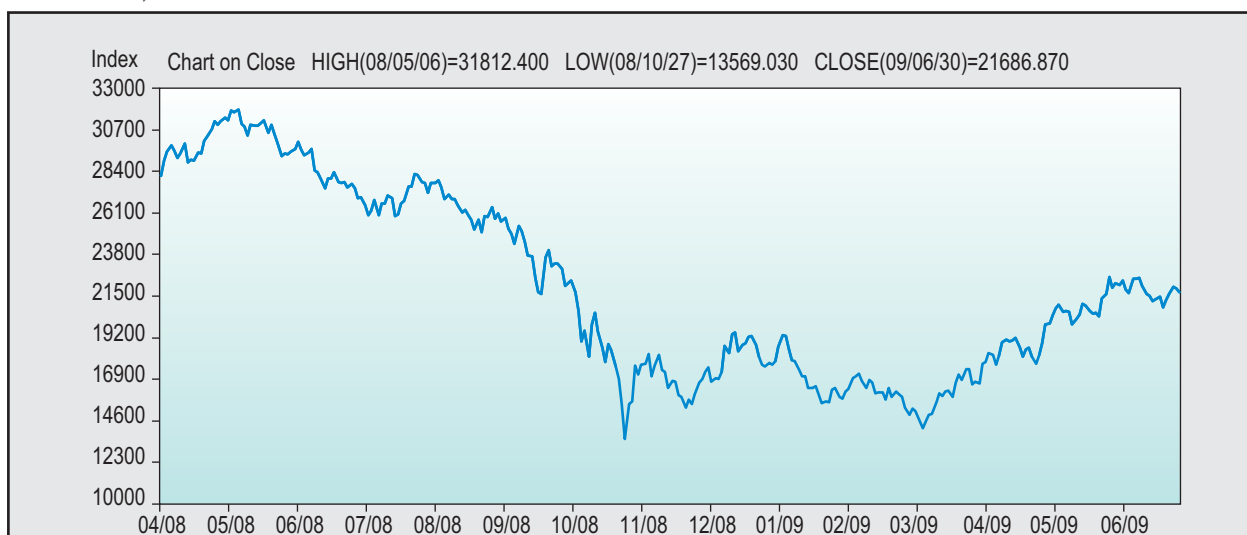
| 指數              | 2009年6月底<br>收市 | 2009年3月底<br>收市 | 升跌      |
|-----------------|----------------|----------------|---------|
| 標準普爾／香港交易所大型股指數 | 21686.87       | 16740.46       | +29.55% |
| 標準普爾／香港交易所創業板指數 | 575.20         | 386.23         | +48.93% |
| 恒生指數            | 18378.73       | 13576.02       | +35.38% |
| 分類指數            |                |                |         |
| 金融              | 27768.46       | 19418.62       | +43.00% |
| 公用事業            | 36186.12       | 34966.97       | + 3.49% |
| 地產              | 24565.01       | 17330.49       | +41.74% |
| 工商業             | 9790.97        | 7580.55        | +29.16% |
| 恒生綜合指數          | 2591.05        | 1901.85        | +36.24% |
| 恒生香港中資企業指數      | 3820.14        | 3095.40        | +23.41% |
| 恒生中國企業指數        | 10962.61       | 8070.13        | +35.84% |

# 股票市場指數

恒生指數(2008/04/01-2009/06/30)



標準普爾／香港交易所大型股指數(2008/04/01-2009/06/30)



標準普爾／香港交易所創業板指數(2008/04/01-2009/06/30)



# 股票市場指數

## 世界指數

| 指數              | 2009年6月底<br>收市 | 2009年3月底<br>收市 | 升跌      |
|-----------------|----------------|----------------|---------|
| 香港              |                |                |         |
| 標準普爾／香港交易所大型股指數 | 21686.87       | 16740.46       | +29.55% |
| 恒生指數            | 18378.73       | 13576.02       | +35.38% |
| 澳洲              |                |                |         |
| 普通股指數           | 3947.80        | 3532.30        | +11.76% |
| 雅加達             |                |                |         |
| 綜合指數            | 2026.78        | 1434.07        | +41.33% |
| 日本              |                |                |         |
| 日經指數 (225)      | 9958.44        | 8109.53        | +22.80% |
| 韓國              |                |                |         |
| 綜合指數            | 1390.07        | 1206.26        | +15.24% |
| 吉隆坡             |                |                |         |
| 綜合指數            | 1075.24        | 872.55         | +23.23% |
| 馬尼拉             |                |                |         |
| 綜合指數            | 2437.99        | 1986.22        | +22.75% |
| 紐西蘭             |                |                |         |
| 證交所指數 (50)      | 2796.11        | 2590.39        | + 7.94% |
| 上海              |                |                |         |
| A 股指數           | 3106.59        | 2490.71        | +24.73% |
| B 股指數           | 190.30         | 161.06         | +18.16% |
| 深圳              |                |                |         |
| A 股指數           | 1010.41        | 825.31         | +22.43% |
| B 股指數           | 496.22         | 351.49         | +41.17% |
| 新加坡             |                |                |         |
| FTSE 海峽時報指數     | 2333.14        | 1699.99        | +37.24% |
| 台灣              |                |                |         |
| 台北加權股份指數        | 6432.16        | 5210.84        | +23.44% |
| 泰國              |                |                |         |
| 證交所指數           | 597.48         | 431.50         | +38.47% |
| 紐約              |                |                |         |
| 杜瓊斯工業平均指數       | 8447.00        | 7608.92        | +11.01% |
| Nasdaq 綜合指數     | 1835.04        | 1528.59        | +20.05% |
| 多倫多             |                |                |         |
| S&P/TSX 綜合指數    | 10374.91       | 8720.39        | +18.97% |
| 德國              |                |                |         |
| 法蘭克福指數          | 2909.05        | 2570.99        | +13.15% |
| 倫敦              |                |                |         |
| 富時指數 (100)      | 4249.20        | 3926.10        | + 8.23% |

# 衍生產品市場 期貨及期權

## 合約成交量

| 衍生產品                      | 合約張數              |                   |
|---------------------------|-------------------|-------------------|
|                           | 2009年第2季          | 2008年第2季          |
| 恒生指數期貨                    | 5,816,700         | 4,759,425         |
| 恒生指數期權                    | 1,309,363         | 840,360           |
| 小型恒生指數期貨                  | 2,758,113         | 1,577,435         |
| 小型恒生指數期權                  | 77,202            | 32,818            |
| H股指數期貨                    | 3,376,088         | 3,064,529         |
| H股指數期權                    | 501,202           | 297,124           |
| 小型H股指數期貨 <sup>1</sup>     | 208,986           | 68,486            |
| H股金融指數期貨 <sup>2</sup>     | —                 | —                 |
| 新華富時中國25指數期貨 <sup>3</sup> | —                 | 2                 |
| 新華富時中國25指數期權 <sup>4</sup> | —                 | 4                 |
| 股票期貨                      | 69,549            | 46,301            |
| 股票期權                      | 13,279,436        | 12,837,557        |
| 三個月港元利率期貨                 | 909               | 6,508             |
| 一個月港元利率期貨                 | 85                | 238               |
| 三年期外匯基金債券期貨               | —                 | —                 |
| 黃金期貨 <sup>5</sup>         | 1,118             | —                 |
| <b>總數</b>                 | <b>27,398,751</b> | <b>23,530,787</b> |

<sup>1</sup> 小型H股指數期貨由2008年3月31日開始買賣

<sup>2</sup> H股金融指數期貨由2008年12月24日停止買賣

<sup>3</sup> 新華富時中國25指數期貨由2008年12月31日停止買賣

<sup>4</sup> 新華富時中國25指數期權由2008年12月24日停止買賣

<sup>5</sup> 黃金期貨由2008年10月20日開始買賣

## 季末未平倉合約

| 衍生產品                      | 合約張數             |                  |
|---------------------------|------------------|------------------|
|                           | 2009年第2季         | 2008年第2季         |
| 恒生指數期貨                    | 79,772           | 101,711          |
| 恒生指數期權                    | 182,288          | 91,240           |
| 小型恒生指數期貨                  | 5,914            | 3,215            |
| 小型恒生指數期權                  | 4,378            | 1,611            |
| H股指數期貨                    | 71,607           | 108,981          |
| H股指數期權                    | 114,324          | 47,697           |
| 小型H股指數期貨 <sup>1</sup>     | 623              | 520              |
| H股金融指數期貨 <sup>2</sup>     | —                | —                |
| 新華富時中國25指數期貨 <sup>3</sup> | —                | —                |
| 新華富時中國25指數期權 <sup>4</sup> | —                | —                |
| 股票期貨                      | 14,806           | 6,864            |
| 股票期權                      | 3,847,782        | 4,775,250        |
| 三個月港元利率期貨                 | 550              | 1,708            |
| 一個月港元利率期貨                 | 35               | 107              |
| 三年期外匯基金債券期貨               | —                | —                |
| 黃金期貨 <sup>5</sup>         | 16               | —                |
| <b>總數</b>                 | <b>4,322,095</b> | <b>5,138,904</b> |

<sup>1</sup> 小型H股指數期貨由2008年3月31日開始買賣

<sup>2</sup> H股金融指數期貨由2008年12月24日停止買賣

<sup>3</sup> 新華富時中國25指數期貨由2008年12月31日停止買賣

<sup>4</sup> 新華富時中國25指數期權由2008年12月24日停止買賣

<sup>5</sup> 黃金期貨由2008年10月20日開始買賣



# 衍生產品市場 期貨及期權

## 恒生指數期貨－合約成交量及未平倉合約(合約張數)

|       |     | 總合約成交量    | 季末未平倉合約 |
|-------|-----|-----------|---------|
| 2008年 | 第二季 | 4,759,425 | 101,711 |
|       | 第三季 | 5,910,772 | 97,135  |
|       | 第四季 | 5,710,013 | 73,034  |
| 2009年 | 第一季 | 4,805,616 | 80,785  |
|       | 第二季 | 5,816,700 | 79,772  |

## 小型恒生指數期貨－合約成交量及未平倉合約(合約張數)

|       |     | 總合約成交量    | 季末未平倉合約 |
|-------|-----|-----------|---------|
| 2008年 | 第二季 | 1,577,435 | 3,215   |
|       | 第三季 | 2,011,680 | 4,456   |
|       | 第四季 | 2,406,984 | 2,945   |
| 2009年 | 第一季 | 1,927,153 | 4,303   |
|       | 第二季 | 2,758,113 | 5,914   |

## 恒生指數期權－合約成交量及未平倉合約(合約張數)

|       |     | 總合約成交量    | 季末未平倉合約 |
|-------|-----|-----------|---------|
| 2008年 | 第二季 | 840,360   | 91,240  |
|       | 第三季 | 1,139,643 | 99,068  |
|       | 第四季 | 944,013   | 75,829  |
| 2009年 | 第一季 | 1,030,049 | 118,571 |
|       | 第二季 | 1,309,363 | 182,288 |

## H股恒生指數期貨－合約成交量及未平倉合約(合約張數)

|       |     | 總合約成交量    | 季末未平倉合約 |
|-------|-----|-----------|---------|
| 2008年 | 第二季 | 3,064,529 | 108,981 |
|       | 第三季 | 3,609,442 | 87,386  |
|       | 第四季 | 4,132,247 | 96,120  |
| 2009年 | 第一季 | 3,287,097 | 85,412  |
|       | 第二季 | 3,376,088 | 71,607  |

## 股票期權市場成交及未平倉合約(合約張數)

|       |     | 總期權金額<br>(百萬港元) | 總合約成交量     | 季末未平倉合約   |
|-------|-----|-----------------|------------|-----------|
| 2008年 | 第二季 | 26,994.75       | 12,837,557 | 4,775,250 |
|       | 第三季 | 26,991.11       | 13,646,790 | 4,675,934 |
|       | 第四季 | 28,706.16       | 12,369,694 | 3,984,346 |
| 2009年 | 第一季 | 25,464.43       | 11,656,754 | 4,400,699 |
|       | 第二季 | 20,116.61       | 13,279,436 | 3,847,782 |

# 衍生產品市場 期貨及期權

## 各期權類別之期權金總額

2009年第2季

| 期權類別     |     | 期權金額(百萬港元) | 佔市場百分比  |
|----------|-----|------------|---------|
| 中國鋁業     | ALC | 31.89      | 0.16%   |
| 中國銀行     | BCL | 334.03     | 1.66%   |
| 交通銀行     | BCM | 105.35     | 0.52%   |
| 東亞銀行     | BEA | 16.55      | 0.08%   |
| 中銀香港     | BOC | 80.16      | 0.40%   |
| 建設銀行     | CCB | 845.27     | 4.20%   |
| 中國交通建設   | CCC | 61.84      | 0.31%   |
| 中國中煤能源   | CCE | 19.62      | 0.10%   |
| 中國移動     | CHT | 3,124.71   | 15.53%  |
| 中國聯通     | CHU | 46.00      | 0.23%   |
| 中信泰富     | CIT | 8.18       | 0.04%   |
| 長江實業     | CKH | 812.92     | 4.04%   |
| 長江基建集團   | CKI | 5.30       | 0.03%   |
| 中國人壽     | CLI | 901.67     | 4.48%   |
| 中電控股     | CLP | 143.57     | 0.71%   |
| 招商銀行     | CMB | 154.81     | 0.77%   |
| 中國海洋石油   | CNC | 340.70     | 1.69%   |
| 國泰航空     | CPA | 14.97      | 0.07%   |
| 中國石油化工股份 | CPC | 394.03     | 1.96%   |
| 中國鐵建     | CRC | 16.57      | 0.08%   |
| 中國中鐵     | CRG | 13.24      | 0.07%   |
| 中國神華     | CSE | 137.27     | 0.68%   |
| 中信銀行     | CTB | 13.85      | 0.07%   |
| 中國電信     | CTC | 60.61      | 0.30%   |
| 駿威汽車     | DWM | 1.41       | 0.01%   |
| 思捷環球     | ESP | 23.09      | 0.11%   |
| 富士康國際    | FIH | 7.94       | 0.04%   |
| 香港電燈     | HEH | 35.60      | 0.18%   |
| 香港交易所    | HEX | 1,115.66   | 5.55%   |
| 匯豐控股     | HKB | 7,684.98   | 38.20%  |
| 香港中華煤氣   | HKG | 6.29       | 0.03%   |
| 恒基地產     | HLD | 23.05      | 0.11%   |
| 華能國際電力股份 | HNP | 14.92      | 0.07%   |
| 恒生銀行     | HSB | 478.09     | 2.38%   |
| 和記黃埔     | HWL | 334.12     | 1.66%   |
| 工商銀行     | ICB | 274.59     | 1.37%   |
| 德昌電機控股   | JSE | 0.52       | 0.00%   |
| 江西銅業     | JXC | 59.39      | 0.30%   |
| 利豐       | LIF | 29.12      | 0.14%   |
| 地鐵公司     | MTR | 19.75      | 0.10%   |
| 新世界發展    | NWD | 13.93      | 0.07%   |
| 中國平安     | PAI | 389.36     | 1.94%   |
| 電訊盈科     | PCC | 0.00       | 0.00%   |
| 中國石油股份   | PEC | 478.44     | 2.38%   |
| 中國人民財產保險 | PIC | 19.79      | 0.10%   |
| 新鴻基地產    | SHK | 1,357.51   | 6.75%   |
| 太古股份公司A  | SWA | 38.24      | 0.19%   |
| 盈富基金     | TRF | 15.51      | 0.08%   |
| 九龍倉集團    | WHL | 12.22      | 0.06%   |
| 總數       |     | 20,116.61  | 100.00% |

# 衍生產品市場 期貨及期權

## 各期權類別之合約成交量

2009年第2季

| 期權類別     |     | 合約成交量      | 佔市場百分比  |
|----------|-----|------------|---------|
| 中國鋁業     | ALC | 30,118     | 0.23%   |
| 中國銀行     | BCL | 1,031,653  | 7.77%   |
| 交通銀行     | BCM | 189,445    | 1.43%   |
| 東亞銀行     | BEA | 55,837     | 0.42%   |
| 中銀香港     | BOC | 125,515    | 0.95%   |
| 建設銀行     | CCB | 1,442,084  | 10.86%  |
| 中國交通建設   | CCC | 67,310     | 0.51%   |
| 中國中煤能源   | CCE | 27,630     | 0.21%   |
| 中國移動     | CHT | 1,138,216  | 8.57%   |
| 中國聯通     | CHU | 31,763     | 0.24%   |
| 中信泰富     | CIT | 8,300      | 0.06%   |
| 長江實業     | CKH | 158,562    | 1.19%   |
| 長江基建集團   | CKI | 6,705      | 0.05%   |
| 中國人壽     | CLI | 576,631    | 4.34%   |
| 中電控股     | CLP | 112,282    | 0.85%   |
| 招商銀行     | CMB | 264,183    | 1.99%   |
| 中國海洋石油   | CNC | 339,835    | 2.56%   |
| 國泰航空     | CPA | 26,041     | 0.20%   |
| 中國石油化工股份 | CPC | 314,881    | 2.37%   |
| 中國鐵建     | CRC | 46,032     | 0.35%   |
| 中國中鐵     | CRG | 28,195     | 0.21%   |
| 中國神華     | CSE | 143,963    | 1.08%   |
| 中信銀行     | CTB | 46,752     | 0.35%   |
| 中國電信     | CTC | 95,243     | 0.72%   |
| 駿威汽車     | DWM | 2,577      | 0.02%   |
| 思捷環球     | ESP | 87,807     | 0.66%   |
| 富士康國際    | FIH | 14,205     | 0.11%   |
| 香港電燈     | HEH | 69,881     | 0.53%   |
| 香港交易所    | HEX | 1,408,284  | 10.60%  |
| 匯豐控股     | HKB | 2,791,423  | 21.02%  |
| 香港中華煤氣   | HKG | 11,642     | 0.09%   |
| 恒基地產     | HLD | 9,811      | 0.07%   |
| 華能國際電力股份 | HNP | 23,334     | 0.18%   |
| 恒生銀行     | HSB | 494,009    | 3.72%   |
| 和記黃埔     | HWL | 135,619    | 1.02%   |
| 工商銀行     | ICB | 992,140    | 7.47%   |
| 德昌電機控股   | JSE | 5,267      | 0.04%   |
| 江西銅業     | JXC | 58,347     | 0.44%   |
| 利豐       | LIF | 11,274     | 0.08%   |
| 地鐵公司     | MTR | 47,842     | 0.36%   |
| 新世界發展    | NWD | 10,308     | 0.08%   |
| 中國平安     | PAI | 240,910    | 1.81%   |
| 電訊盈科     | PCC | 7          | 0.00%   |
| 中國石油股份   | PEC | 243,797    | 1.84%   |
| 中國人民財產保險 | PIC | 17,335     | 0.13%   |
| 新鴻基地產    | SHK | 232,010    | 1.75%   |
| 太古股份公司A  | SWA | 22,316     | 0.17%   |
| 盈富基金     | TRF | 34,122     | 0.26%   |
| 九龍倉集團    | WHL | 7,993      | 0.06%   |
| 總數       |     | 13,279,436 | 100.00% |

# 結算及交收

## 經中央結算系統處理的交收指示(每日平均數)

(包括待收取及待交付的交收指示)

| 年／月      | 交收指示的數量 | 股數<br>(10億股) | 數值<br>(10億港元) |
|----------|---------|--------------|---------------|
| 2008 第2季 | 62,653  | 50.94        | 206.87        |
| 第3季      | 58,573  | 46.36        | 179.64        |
| 第4季      | 62,582  | 41.46        | 146.59        |
| 2009 第1季 | 55,676  | 33.62        | 122.39        |
| 第2季      | 74,476  | 46.43        | 188.18        |

## 經中央結算系統處理的投資者交收指示(每日平均數)

(投資者交收指示只作單邊計算)

| 年／月      | 投資者交收<br>指示的數量 | 股數<br>(百萬股) | 數值<br>(百萬港元) |
|----------|----------------|-------------|--------------|
| 2008 第2季 | 500            | 89.07       | 231.16       |
| 第3季      | 477            | 394.14      | 231.78       |
| 第4季      | 669            | 143.37      | 206.22       |
| 2009 第1季 | 432            | 68.40       | 119.55       |
| 第2季      | 609            | 125.20      | 197.77       |

## 經中央結算系統存管的股份

(按季度結存統計)

| 年／月      | 股數<br>(10億股) | 佔獲納入中央<br>結算系統的證券<br>的已發行股數<br>(%) | 市值<br>(10億港元) | 佔獲納入中央<br>結算系統的證券<br>的市價總值<br>(%) |
|----------|--------------|------------------------------------|---------------|-----------------------------------|
| 2008 第2季 | 3,980.22     | 75.61                              | 7,704.09      | 44.60                             |
| 第3季      | 3,722.74     | 74.53                              | 5,905.59      | 44.18                             |
| 第4季      | 3,408.30     | 72.57                              | 5,040.50      | 44.62                             |
| 2009 第1季 | 3,255.40     | 70.99                              | 5,026.74      | 46.29                             |
| 第2季      | 3,215.42     | 71.72                              | 7,306.94      | 48.24                             |

# 結算及交收

## 經中央結算系統處理的聯交所買賣(每日平均數)

(包括以「持續淨額交收」的買賣,「已劃分的買賣」和兩邊客買賣)

| 年/月        | 買賣宗數    | 佔總成交<br>宗數 (%) | 股數<br>(百萬股) | 佔成交額<br>(%) | 買賣成交值<br>(百萬港元) | 佔成交額<br>(%) |
|------------|---------|----------------|-------------|-------------|-----------------|-------------|
| 2008 第 2 季 | 540,113 | 100            | 116,803.79  | 100         | 76,079.45       | 100         |
| 第 3 季      | 503,213 | 100            | 101,147.17  | 100         | 63,555.81       | 100         |
| 第 4 季      | 622,593 | 100            | 71,069.05   | 100         | 50,791.52       | 100         |
| 2009 第 1 季 | 533,958 | 100            | 75,262.87   | 100         | 44,720.95       | 100         |
| 第 2 季      | 811,938 | 100            | 109,528.00  | 100         | 71,684.42       | 100         |

## 以「持續淨額交收」的買賣的結算效率(每日平均數)

—按待交收股份數額和股數計算

| 年/月        | 以「持續淨額交收」<br>的股份數額宗數 | 淨額結算<br>效率<br>(%) | 待交收<br>的股數<br>(百萬股) | 淨額結算<br>效率<br>(%) |
|------------|----------------------|-------------------|---------------------|-------------------|
| 2008 第 2 季 | 56,171               | 94.58             | 23,868.92           | 89.60             |
| 第 3 季      | 46,111               | 95.13             | 18,735.28           | 90.44             |
| 第 4 季      | 47,076               | 95.96             | 18,463.43           | 86.35             |
| 2009 第 1 季 | 46,433               | 95.46             | 17,715.25           | 87.98             |
| 第 2 季      | 67,305               | 95.68             | 29,281.89           | 86.43             |

## 以「持續淨額交收」的股份數額的交收效率(每日平均數)

| 年／月  |       | 交收效率(%) |         |
|------|-------|---------|---------|
|      |       | 到期交收日   | 到期交收日翌日 |
| 2008 | 第 2 季 | 99.84   | 99.99   |
|      | 第 3 季 | 99.74   | 99.98   |
|      | 第 4 季 | 99.81   | 99.99   |
| 2009 | 第 1 季 | 99.84   | 99.99   |
|      | 第 2 季 | 99.84   | 99.99   |

# 結算及交收

## 季末未平倉合約

| 衍生產品                      | 合約張數             |                  |
|---------------------------|------------------|------------------|
|                           | 2009 年第 2 季      | 2008 年第 2 季      |
| 恒生指數期貨                    | 79,772           | 101,711          |
| 恒生指數期權                    | 182,288          | 91,240           |
| 小型恒生指數期貨                  | 5,914            | 3,215            |
| 小型恒生指數期權                  | 4,378            | 1,611            |
| H股指數期貨                    | 71,607           | 108,981          |
| H股指數期權                    | 114,324          | 47,697           |
| 小型H股指數期貨 <sup>1</sup>     | 623              | 520              |
| H股金融指數期貨 <sup>2</sup>     | —                | —                |
| 新華富時中國25指數期貨 <sup>3</sup> | —                | —                |
| 新華富時中國25指數期權 <sup>4</sup> | —                | —                |
| 股票期貨                      | 14,806           | 6,864            |
| 股票期權                      | 3,847,782        | 4,775,250        |
| 三個月港元利率期貨                 | 550              | 1,708            |
| 一個月港元利率期貨                 | 35               | 107              |
| 三年期外匯基金債券期貨               | —                | —                |
| 黃金期貨 <sup>5</sup>         | 16               | —                |
| <b>總數</b>                 | <b>4,322,095</b> | <b>5,138,904</b> |

<sup>1</sup> 小型H股指數期貨由2008年3月31日開始買賣

<sup>2</sup> H股金融指數期貨由2008年12月24日 停止買賣

<sup>3</sup> 新華富時中國25指數期貨由2008年12月31日停止買賣

<sup>4</sup> 新華富時中國25指數期權由2008年12月24日停止買賣

<sup>5</sup> 黃金期貨由2008年10月20日開始買賣



# 結算及交收

## 各期權類別之未平倉合約

2009年第2季末

| 期權類別      |     | 未平倉合約            | 佔市場百份比        |
|-----------|-----|------------------|---------------|
| 中國鋁業      | ALC | 9,186            | 0.24          |
| 中國銀行      | BCL | 328,921          | 8.55          |
| 交通銀行      | BCM | 84,135           | 2.19          |
| 東亞銀行      | BEA | 12,786           | 0.33          |
| 中銀香港      | BOC | 51,675           | 1.34          |
| 建設銀行      | CCB | 415,735          | 10.80         |
| 中國交通建設    | CCC | 57,045           | 1.48          |
| 中國中煤能源    | CCE | 10,355           | 0.27          |
| 中國移動      | CHT | 239,300          | 6.22          |
| 中國聯通      | CHU | 10,195           | 0.26          |
| 中信泰富      | CIT | 1,878            | 0.05          |
| 長江實業      | CKH | 49,650           | 1.29          |
| 長江基建集團    | CKI | 1,731            | 0.04          |
| 中國人壽      | CLI | 237,371          | 6.17          |
| 中電控股      | CLP | 36,671           | 0.95          |
| 招商銀行      | CMB | 88,491           | 2.30          |
| 中國海洋石油    | CNC | 158,029          | 4.11          |
| 國泰航空      | CPA | 3,693            | 0.10          |
| 中國石油化工股份  | CPC | 191,735          | 4.98          |
| 中國鐵建      | CRC | 16,244           | 0.42          |
| 中國中鐵      | CRG | 12,148           | 0.32          |
| 中國神華      | CSE | 41,554           | 1.08          |
| 中信銀行      | CTB | 12,266           | 0.32          |
| 中國電信      | CTC | 76,283           | 1.98          |
| 駿威汽車      | DWM | 511              | 0.01          |
| 思捷環球      | ESP | 20,327           | 0.53          |
| 富士康國際     | FIH | 4,029            | 0.10          |
| 香港電燈      | HEH | 9,439            | 0.25          |
| 香港交易所     | HEX | 262,007          | 6.81          |
| 匯豐控股      | HKB | 591,993          | 15.39         |
| 香港中華煤氣    | HKG | 13,300           | 0.35          |
| 恒基地產      | HLD | 3,358            | 0.09          |
| 華能國際電力股份  | HNP | 7,786            | 0.20          |
| 恒生銀行      | HSB | 87,977           | 2.29          |
| 和記黃埔      | HWL | 50,271           | 1.31          |
| 工商銀行      | ICB | 314,603          | 8.18          |
| 德昌電機控股    | JSE | 2,040            | 0.05          |
| 江西銅業      | JXC | 12,587           | 0.33          |
| 利豐        | LIF | 1,701            | 0.04          |
| 地鐵公司      | MTR | 10,348           | 0.27          |
| 新世界發展     | NWD | 4,226            | 0.11          |
| 中國平安      | PAI | 62,775           | 1.63          |
| 中國石油股份    | PEC | 152,540          | 3.96          |
| 中國人民財產保險  | PIC | 7,942            | 0.21          |
| 新鴻基地產     | SHK | 58,097           | 1.51          |
| 太古股份公司A   | SWA | 6,258            | 0.16          |
| 盈富基金      | TRF | 13,567           | 0.35          |
| 九龍倉集團     | WHL | 3,023            | 0.08          |
| <b>總數</b> |     | <b>3,847,782</b> | <b>100.00</b> |

# 交易所參與者統計

## 聯交所

|      |       | 交易權<br>持有人數目 | 交易所參與者－<br>開業 | 交易所參與者－<br>非開業 | 非交易所參與者 |
|------|-------|--------------|---------------|----------------|---------|
| 2008 | 第 2 季 | 519 (929)    | 448 (852)     | 35 (41)        | 36 (36) |
|      | 第 3 季 | 519 (927)    | 447 (849)     | 36 (42)        | 36 (36) |
|      | 第 4 季 | 522 (931)    | 449 (854)     | 38 (42)        | 35 (35) |
| 2009 | 第 1 季 | 521 (929)    | 452 (856)     | 37 (41)        | 32 (32) |
|      | 第 2 季 | 526 (937)    | 458 (864)     | 36 (41)        | 32 (32) |

( ) 交易權數目

## 期交所

|      |       | 交易權<br>持有人數目 | 交易所參與者－<br>開業 | 交易所參與者－<br>非開業 | 非交易所參與者 |
|------|-------|--------------|---------------|----------------|---------|
| 2008 | 第 2 季 | 200 (227)    | 147 (172)     | —              | 53 (55) |
|      | 第 3 季 | 200 (226)    | 147 (171)     | —              | 53 (55) |
|      | 第 4 季 | 200 (226)    | 148 (172)     | —              | 52 (54) |
| 2009 | 第 1 季 | 204 (230)    | 157 (181)     | —              | 47 (49) |
|      | 第 2 季 | 209 (235)    | 162 (186)     | —              | 47 (49) |

附註：

- (1) 括號內的數字為持有之交易權總數。
- (2) 交易所參與者是指有權在或經交易所進行買賣及已根據《證券及期貨條例》獲發牌經營證券／期貨／期權交易活動之公司。

# 結算所參與者

## 期貨結算所參與者

| 年／月        | 結算參與者 | 一般結算參與者 |
|------------|-------|---------|
| 2008 第 2 季 | 134   | 7       |
| 第 3 季      | 134   | 7       |
| 第 4 季      | 133   | 7       |
| 2009 第 1 季 | 139   | 8       |
| 第 2 季      | 140   | 9       |

## 期交所期權結算所參與者

| 年／月        | 直接結算參與者 | 一般結算參與者 |
|------------|---------|---------|
| 2008 第 2 季 | 49      | 4       |
| 第 3 季      | 49      | 5       |
| 第 4 季      | 49      | 5       |
| 2009 第 1 季 | 48      | 6       |
| 第 2 季      | 49      | 6       |

## 中央結算所參與者

| 年／月        | 直接結算<br>參與者 | 一般結算<br>參與者 | 非經紀<br>參與者(註 1) |
|------------|-------------|-------------|-----------------|
| 2008 第 2 季 | 450         | 3           | 44              |
| 第 3 季      | 449         | 4           | 43              |
| 第 4 季      | 452         | 5           | 41              |
| 2009 第 1 季 | 454         | 5           | 42              |
| 第 2 季      | 450         | 6           | 40              |

註1: 非經紀參與者包括結算機構參與者、託管商參與者及股份承押人參與者。

# 簡釋

---

|           |                   |
|-----------|-------------------|
| CBBC      | 可收回牛熊證            |
| CCASS     | 中央結算及交收系統         |
| CNS       | 持續淨額交收            |
| DCASS     | 衍生產品結算及交收系統       |
| ELI       | 股票掛鉤票據            |
| ETF       | 交易所買賣基金           |
| GEM       | 創業板               |
| HIBOR     | 香港銀行同業拆息          |
| HKCC      | 香港期貨結算有限公司        |
| HKEx      | 香港交易及結算所有限公司      |
| HKSCC     | 香港中央結算有限公司        |
| HSICS     | 恒生行業分類系統          |
| ISI       | 投資者交易指示           |
| NASDAQ    | 美國全國證券交易商協會自動報價系統 |
| P/E ratio | 市盈率               |
| REITs     | 房地產投資信託基金         |
| S&P       | 標準普爾              |
| SEOCH     | 香港聯合交易所期權結算所有限公司  |
| SI        | 交收指示              |