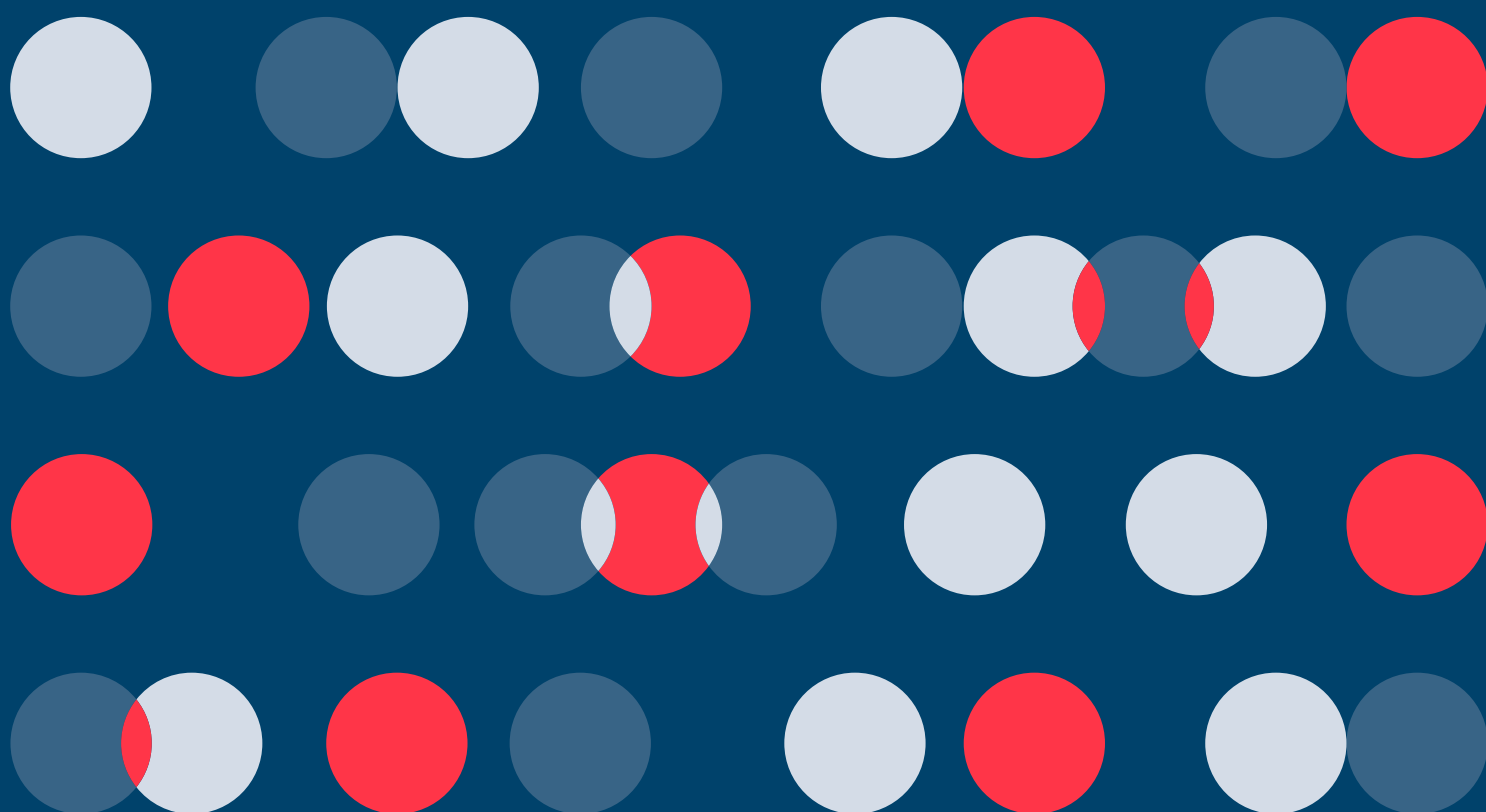


# 證券及衍生產品市場季報

2020年第二季



# 市場概況

## 主板

| 概況             | 2020年第2季           | 2019年第2季           |
|----------------|--------------------|--------------------|
| 上市公司數目         | 2,111              | 1,996              |
| 上市證券數目         | 15,421             | 13,322             |
| 股份             |                    |                    |
| 普通股            | 2,112              | 1,997              |
| 優先股            | 16                 | 18                 |
| 認股權證           | 7,007              | 5,983              |
| 股份             | 2                  | 2                  |
| 衍生             | 6,172              | 5,981              |
| 界內             | 833                | -                  |
| 股票掛鈎票據         | 0                  | 0                  |
| 牛熊證            | 4,695              | 3,884              |
| 單位信託及互惠基金      | 147                | 149                |
| 債券             | 1,444              | 1,291              |
| 非上市可交易股份數目     |                    |                    |
| 納斯達克股份         | 6                  | 6                  |
| iShares        | 0                  | 0                  |
| 交易日數           | 60                 | 59                 |
| 總成交金額(百萬港元)*   | 6,825,607.33       | 5,575,967.86       |
| 總成交股數(百萬股)     | 12,164,245.53      | 14,752,676.97      |
| 總成交宗數(宗數)      | 107,674,729        | 91,379,849         |
| 上市公司市價總值(百萬港元) | 37,802,933.53      | 32,591,655.65      |
| 平均市盈率(倍)       | 13.60              | 11.24              |
| 平均週息率(百分率)     | 2.67               | 3.07               |
| 交易所參與者數目       |                    |                    |
| 開業             | 646                | 657                |
| 非開業            | 56                 | 34                 |
| 成交金額(百萬港元)     |                    |                    |
| 最高             | 180,521.49 (22/05) | 137,259.09 (06/05) |
| 最低             | 70,454.61 (05/05)  | 64,834.67 (26/06)  |
| 成交股數(百萬股)      |                    |                    |
| 最高             | 280,355.27 (15/06) | 349,280.62 (09/05) |
| 最低             | 148,585.01 (27/04) | 182,279.90 (28/06) |
| 總成交宗數(宗數)      |                    |                    |
| 最高             | 2,718,056 (22/05)  | 2,280,786 (14/05)  |
| 最低             | 1,221,800 (05/05)  | 1,172,027 (26/06)  |

\* 成交金額包括非港元交易買賣的證券

# 市場概況

## GEM

| 概況             | 2020年第2季         | 2019年第2季         |
|----------------|------------------|------------------|
| 上市公司數目         | 376              | 386              |
| 上市證券數目         | 377              | 387              |
| 股份             | 376              | 386              |
| 認股權證           | 1                | 1                |
| 交易日數           | 60               | 59               |
| 總成交金額(百萬港元)*   | 15,660.56        | 14,094.16        |
| 總成交股數(百萬股)     | 45,485.20        | 54,136.35        |
| 總成交宗數(宗數)      | 492,227          | 665,940          |
| 上市公司市價總值(百萬港元) | 102,733.62       | 134,992.16       |
| 平均市盈率(倍)       | 22.46            | 21.77            |
| 平均週息率(百分率)     | 0.40             | 1.49             |
| 成交金額(百萬港元)     |                  |                  |
| 最高             | 655.31 (15/06)   | 634.98 (26/06)   |
| 最低             | 78.14 (05/05)    | 125.87 (20/06)   |
| 成交股數(百萬股)      |                  |                  |
| 最高             | 1,727.32 (23/06) | 3,502.58 (13/06) |
| 最低             | 312.07 (05/05)   | 495.11 (10/06)   |
| 總成交宗數(宗數)      |                  |                  |
| 最高             | 19,986 (20/04)   | 39,588 (25/06)   |
| 最低             | 4,021 (05/05)    | 6,604 (17/06)    |

\* 成交金額包括非港元交易買賣的證券

# 市場概況

## 衍生產品市場

| 概況                       | 2020年第2季   | 2019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                     | 60         | 59         |
| 總合約成交量                   | 34,975,255 | 40,395,607 |
| 股票指數產品                   | 34,337,271 | 39,412,189 |
| 股票產品                     | 200,735    | 269,826    |
| 利率產品                     | 107        | 27         |
| 人民幣貨幣產品                  | 352,284    | 547,965    |
| 印度盧比貨幣產品*                | 29,678     |            |
| 黃金期貨                     | 1,010      | 158,021    |
| 白銀期貨#                    | 147        |            |
| 鐵礦石期貨                    | 24,892     | 7,497      |
| 倫敦金屬期貨小型合約               | 29,131     | 82         |
| 平均每日合約成交量                | 582,921    | 684,671    |
| <b>季末未平倉合約</b>           |            |            |
| 股票指數產品                   | 3,285,255  | 3,560,440  |
| 股票產品                     | 3,237,272  | 3,506,111  |
| 利率產品                     | 16,067     | 16,125     |
| 利率產品                     | 105        | 25         |
| 人民幣貨幣產品                  | 27,558     | 36,580     |
| 印度盧比貨幣產品*                | 285        | -          |
| 黃金期貨                     | 242        | 1,042      |
| 白銀期貨#                    | 135        | -          |
| 鐵礦石期貨                    | 3,184      | 556        |
| 倫敦金屬期貨小型合約               | 407        | 1          |

\* 印度盧比貨幣產品由2019年11月4日開始買賣

# 白銀期貨由2020年6月8日開始買賣

|                      |            |            |
|----------------------|------------|------------|
| <b>股票期權</b>          |            |            |
| 新開辦期權類別              | 2          | 0          |
| <b>股票期權數目(於季末數目)</b> |            |            |
| 類別                   | 103        | 96         |
| 系列                   | 41,508     | 35,294     |
| 期權金總額(百萬港元)          | 31,172.08  | 22,663.96  |
| 認購                   | 15,505.50  | 11,055.49  |
| 認沽                   | 15,666.58  | 11,608.48  |
| 平均每日期權金總額(百萬港元)      | 519.53     | 384.13     |
| 總合約成交量               | 27,914,168 | 28,792,732 |
| 認購                   | 14,196,879 | 14,348,410 |
| 認沽                   | 13,717,289 | 14,444,322 |
| 平均每日合約成交量            | 465,236    | 488,012    |
| 季末未平倉合約              | 7,904,587  | 7,893,237  |
| 認購                   | 3,664,055  | 3,828,012  |
| 認沽                   | 4,240,532  | 4,065,225  |
| 總成交宗數                | 1,348,871  | 1,155,936  |
| 平均每日成交宗數             | 22,481     | 19,592     |
| 已行使合約總數              | 3,024,007  | 2,951,336  |
| 每張合約平均期權金(港元)        | 1,116.71   | 787.14     |
| 每宗交易平均合約數目           | 21         | 25         |
| 認沽數量／認購數量            | 0.97       | 1.01       |
| 平均每日合約成交量／未平倉合約      | 5.9%       | 6.2%       |
| <b>所有期貨及期權產品</b>     |            |            |
| 總合約成交量               | 62,889,423 | 69,188,339 |
| 季末未平倉合約              | 11,189,842 | 11,453,677 |

# 市場概況

## 結算及交收

| 中央結算系統營運資料                             | 2020年第2季  | 2019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                                 | 1,801,737 | 1,559,363 |
| — 交易金額(十億港元)                           | 113.7     | 94.4      |
| — 涉及股數(十億股)                            | 203.5     | 251.0     |
| 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                               | 108,623   | 99,874    |
| — 交收指示涉及金額(十億港元)                       | 304.9     | 272.4     |
| — 涉及股數(十億股)                            | 44.8      | 51.2      |
| 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                               | 271       | 247       |
| — 交收指示涉及金額(百萬港元)                       | 183.5     | 167.3     |
| — 涉及股數(百萬股)                            | 75.6      | 344.2     |
| 以「持續淨額交收」的股份數額於到期交收日(T+2)的交收效率(每日平均數)  | 99.92     | 99.92     |
| 以「持續淨額交收」的股份數額於到期交收翌日(T+3)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                               | 2         | 4         |
| — 補購宗數                                 | 2         | 3         |
| — 補購涉及金額(百萬港元)                         | 1.5       | 1.5       |
| 存放於中央結算系統證券存管處的股份*                     |           |           |
| — 股數(十億股)                              | 6,287.8   | 6,634.1   |
| — 獲納入系統的證券佔已發行股本總數的百分比                 | 76.04     | 75.28     |
| — 股份價值(十億港元)                           | 22,883.2  | 21,146.8  |
| — 獲納入系統的證券佔市價總值的百分比                    | 57.78     | 60.29     |

| 衍生產品結算及交收系統營運資料 | 2020年第2季  | 2019年第2季  |
|-----------------|-----------|-----------|
| 季末未平倉合約         |           |           |
| — 股市指數期貨        | 626,849   | 622,476   |
| — 股票期貨          | 16,067    | 16,125    |
| — 利率期貨          | 105       | 25        |
| — 人民幣貨幣期貨       | 24,375    | 33,590    |
| — 印度盧比貨幣期貨#     | 285       | —         |
| — 黃金期貨          | 242       | 1,042     |
| — 白銀期貨^         | 135       | —         |
| — 鐵礦石期貨         | 3,184     | 556       |
| — 倫敦金屬期貨小型合約    | 407       | 1         |
| — 股市指數期權        | 2,610,423 | 2,883,635 |
| — 股票期權          | 7,904,587 | 7,893,237 |
| — 人民幣貨幣期權       | 3,183     | 2,990     |
| 累積行使股票期權        |           |           |
| — 涉及股數(百萬股)     | 2,823     | 3,458     |
| — 涉及金額(十億港元)    | 74        | 70        |

\* 股數及市價總值包括非港元證券

# 印度盧比貨幣產品由2019年11月4日開始買賣

^ 白銀期貨由2020年6月8日開始買賣

# 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    |
|------|-------|---------------|------------------|------------|
| 2019 | 第 2 季 | 650,222.76    | 4,073,009.59     | 70,896,400 |
|      | 第 3 季 | 653,090.18    | 3,699,380.57     | 69,429,153 |
|      | 第 4 季 | 563,410.34    | 3,665,234.76     | 63,389,379 |
| 2020 | 第 1 季 | 760,153.23    | 5,843,191.55     | 92,821,917 |
|      | 第 2 季 | 659,267.22    | 5,343,917.46     | 85,789,051 |

## 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 |
|------|-------|---------|-------------------------|---------------------|
| 2019 | 第 2 季 | 59      | 69,034.06               | 57,450              |
|      | 第 3 季 | 65      | 56,913.55               | 53,283              |
|      | 第 4 季 | 62      | 59,116.69               | 57,821              |
| 2020 | 第 1 季 | 62      | 94,245.02               | 62,951              |
|      | 第 2 季 | 60      | 89,065.29               | 62,291              |

# 主 板 股 份

## 20種升幅最大之股份

2020年第2季

| 順次 | 股份代號  | 股份              | 收市價      |          | 升幅     |
|----|-------|-----------------|----------|----------|--------|
|    |       |                 | 2020年6月底 | 2020年3月底 |        |
| 1  | 00276 | 蒙古能源            | 1.660    | 0.440    | 277.27 |
| 2  | 00557 | 天元醫療            | 1.630    | 0.560    | 191.07 |
| 3  | 01538 | 中奧到家            | 1.630    | 0.580    | 181.03 |
| 4  | 03321 | 偉鴻集團控股          | 3.150    | 1.130    | 178.76 |
| 5  | 01849 | 創世紀集團控股         | 0.455    | 0.171    | 166.08 |
| 6  | 02012 | 陽光油砂            | 1.900    | 0.720    | 163.89 |
| 7  | 01009 | 國際娛樂            | 0.660    | 0.260    | 153.85 |
| 8  | 00592 | BOSSINI INT'L   | 0.310    | 0.125    | 148.00 |
| 9  | 00141 | 天禧海嘉控股          | 1.140    | 0.460    | 147.83 |
| 10 | 01585 | 雅迪控股            | 5.350    | 2.180    | 145.41 |
| 11 | 00422 | 越南製造加工出口        | 0.425    | 0.174    | 144.25 |
| 12 | 00305 | 五菱汽車            | 0.490    | 0.201    | 143.78 |
| 13 | 01922 | 銀城生活服務          | 4.540    | 1.890    | 140.21 |
| 14 | 01987 | BENG SOON MACH  | 1.310    | 0.560    | 133.93 |
| 15 | 01575 | 慕容控股            | 0.186    | 0.080    | 132.50 |
| 16 | 00721 | 中國金融國際          | 0.230    | 0.099    | 132.32 |
| 17 | 02552 | 華領醫藥-B          | 7.080    | 3.050    | 132.13 |
| 18 | 00819 | 天能動力            | 13.200   | 5.770    | 128.77 |
| 19 | 01990 | 興華港口            | 1.600    | 0.700    | 128.57 |
| 20 | 02878 | SOLOMON SYSTECH | 0.207    | 0.091    | 127.47 |

A 經調整

## 20種跌幅最大之股份

2020年第2季

| 順次 | 股份代號  | 股份     | 收市價      |          | 跌幅       |
|----|-------|--------|----------|----------|----------|
|    |       |        | 2020年6月底 | 2020年3月底 |          |
| 1  | 01360 | 諾發集團   | 0.147    | 2.050    | -92.83   |
| 2  | 09938 | 華和控股   | 0.171    | 1.980    | -91.36   |
| 3  | 01243 | 宏安地產   | 0.132    | 0.860    | -84.65   |
| 4  | 01636 | 中國金屬利用 | 0.510    | 2.940    | -82.65   |
| 5  | 01472 | 生興控股   | 0.300    | 1.600    | -81.25   |
| 6  | 00508 | 鼎億集團投資 | 0.038    | 0.200    | -81.00   |
| 7  | 00784 | 凌銳控股   | 0.183    | 0.950    | -80.74   |
| 8  | 02346 | 星宇控股   | 0.320    | 1.460    | -78.08   |
| 9  | 00851 | 盛源控股   | 0.028    | 0.103    | -72.82   |
| 10 | 01143 | 環亞國際實業 | 0.345    | 1.060    | A -67.45 |
| 11 | 01192 | 泰山石化   | 0.072    | 0.220    | A -67.27 |
| 12 | 02227 | 守益控股   | 0.173    | 0.500    | -65.40   |
| 13 | 00572 | 未來世界金融 | 0.010    | 0.028    | -64.29   |
| 14 | 03344 | 共享集團   | 0.010    | 0.027    | -62.96   |
| 15 | 01010 | 太睿國際控股 | 0.320    | 0.850    | -62.35   |
| 16 | 00339 | 核心經濟投資 | 0.255    | 0.650    | -60.77   |
| 17 | 01701 | 途屹控股   | 0.900    | 2.280    | -60.53   |
| 18 | 00485 | 中國華星   | 0.011    | 0.027    | -59.26   |
| 19 | 00329 | 東建國際   | 0.435    | 1.000    | -56.50   |
| 20 | 00509 | 世紀陽光   | 0.076    | 0.169    | -55.03   |

A 經調整

# 主 板 股 份

## 20種成交最活躍股份(金額)

2020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  | 00700 | 騰訊控股    | 541,524.28   | 10.13  |
| 2  | 09988 | 阿里巴巴-SW | 287,686.34   | 5.38   |
| 3  | 03690 | 美團點評-W  | 243,255.38   | 4.55   |
| 4  | 02318 | 中國平安    | 152,983.72   | 2.86   |
| 5  | 01299 | 友邦保險    | 134,036.98   | 2.51   |
| 6  | 00981 | 中芯國際    | 124,246.20   | 2.33   |
| 7  | 01810 | 小米集團-W  | 120,364.32   | 2.25   |
| 8  | 00388 | 香港交易所   | 112,006.04   | 2.10   |
| 9  | 00005 | 匯豐控股    | 108,218.36   | 2.03   |
| 10 | 00939 | 建設銀行    | 94,309.13    | 1.76   |
| 11 | 00941 | 中國移動    | 87,792.27    | 1.64   |
| 12 | 01398 | 工商銀行    | 67,290.76    | 1.26   |
| 13 | 02382 | 舜宇光學科技  | 56,520.79    | 1.06   |
| 14 | 02269 | 藥明生物    | 51,532.78    | 0.96   |
| 15 | 00883 | 中國海洋石油  | 49,177.10    | 0.92   |
| 16 | 01833 | 平安好醫生   | 45,630.55    | 0.85   |
| 17 | 00027 | 銀河娛樂    | 45,155.02    | 0.84   |
| 18 | 00175 | 吉利汽車    | 45,125.64    | 0.84   |
| 19 | 03988 | 中國銀行    | 44,018.38    | 0.82   |
| 20 | 02628 | 中國人壽    | 43,891.66    | 0.82   |
| 總額 |       |         | 2,454,765.69 | 45.94  |

## 20種成交最活躍股份(股數)

2020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  | 00788 | 中國鐵塔     | 26,823.36  | 4.07   |
| 2  | 00136 | 恒騰網絡     | 19,330.85  | 2.93   |
| 3  | 00939 | 建設銀行     | 15,213.25  | 2.31   |
| 4  | 03988 | 中國銀行     | 15,105.80  | 2.29   |
| 5  | 01398 | 工商銀行     | 13,239.56  | 2.01   |
| 6  | 00493 | 國美零售     | 13,096.57  | 1.99   |
| 7  | 01810 | 小米集團-W   | 10,126.67  | 1.54   |
| 8  | 00386 | 中國石油化工股份 | 7,734.01   | 1.17   |
| 9  | 03800 | 保利協鑫能源   | 7,255.65   | 1.10   |
| 10 | 00857 | 中國石油股份   | 6,996.11   | 1.06   |
| 11 | 00981 | 中芯國際     | 6,660.61   | 1.01   |
| 12 | 01288 | 農業銀行     | 6,196.56   | 0.94   |
| 13 | 00883 | 中國海洋石油   | 5,627.54   | 0.85   |
| 14 | 01243 | 宏安地產     | 5,316.85   | 0.81   |
| 15 | 00728 | 中國電信     | 5,048.60   | 0.77   |
| 16 | 00572 | 未來世界金融   | 5,042.09   | 0.76   |
| 17 | 02013 | 微盟集團     | 4,692.37   | 0.71   |
| 18 | 01131 | 鴻寶資源     | 4,634.03   | 0.70   |
| 19 | 03313 | 雅高控股     | 3,859.13   | 0.59   |
| 20 | 00175 | 吉利汽車     | 3,826.07   | 0.58   |
| 總數 |       |          | 185,825.66 | 28.19  |



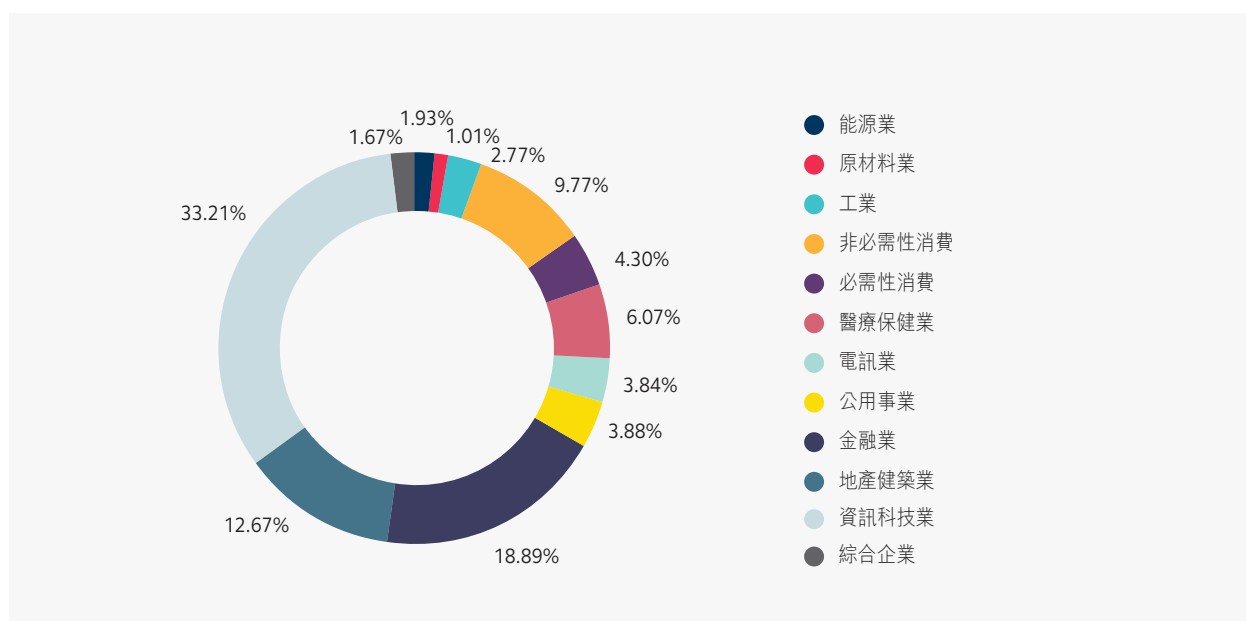
# 主 板 股 份

## 上市公司市價總值－主板

|      |       | 百 萬 港 元       |
|------|-------|---------------|
| 2019 | 第 2 季 | 32,591,655.65 |
|      | 第 3 季 | 30,521,427.39 |
|      | 第 4 季 | 38,058,338.10 |
| 2020 | 第 1 季 | 32,706,395.63 |
|      | 第 2 季 | 37,802,933.53 |

## 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。

註：新的恒生行業分類系統於2019年9月9日生效。

# 主 板 股 份

## 50間市價總值最大之上市公司

截至2020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    | 00700 | 騰訊控股有限公司                         | 4,763,448.82  | 12.60          |
| 2    | 09988 | 阿里巴巴集團控股有限公司－SW                  | 4,498,389.98  | 11.90          |
| 3    | 00939 | 中國建設銀行股份有限公司－H股                  | 1,507,416.60  | 3.99           |
| 4    | 00941 | 中國移動有限公司                         | 1,070,867.76  | 2.83           |
| 5    | 03690 | 美團點評－W                           | 1,006,229.88  | 2.66           |
| 6    | 01299 | 友邦保險控股有限公司                       | 874,150.32    | 2.31           |
| 7    | 00005 | 匯豐控股有限公司                         | 749,025.80    | 1.98           |
| 8    | 09618 | 京東集團股份有限公司－SW                    | 720,870.59    | 1.91           |
| 9    | 02318 | 中國平安保險(集團)股份有限公司－H股              | 577,187.21    | 1.53           |
| 10   | 09999 | NetEase, Inc.                    | 461,603.69    | 1.22           |
| 11   | 00388 | 香港交易及結算所有限公司                     | 418,386.18    | 1.11           |
| 12   | 01398 | 中國工商銀行股份有限公司－H股                  | 407,932.01    | 1.08           |
| 13   | 00883 | 中國海洋石油有限公司                       | 384,861.07    | 1.02           |
| 14   | 01810 | 小米集團－W                           | 309,128.04    | 0.82           |
| 15   | 02378 | 英國保誠有限公司*                        | –             | 298,975.41 不適用 |
| 16   | 01876 | 百威亞太控股有限公司                       | 298,638.60    | 0.79           |
| 17   | 00241 | 阿里健康信息技術有限公司                     | 292,678.74    | 0.77           |
| 18   | 00016 | 新鴻基地產發展有限公司                      | 286,735.36    | 0.76           |
| 19   | 03333 | 中國恒大集團                           | 261,102.20    | 0.69           |
| 20   | 02388 | 中銀香港(控股)有限公司                     | 260,619.03    | 0.69           |
| 21   | 00688 | 中國海外發展有限公司                       | 256,922.93    | 0.68           |
| 22   | 00011 | 恒生銀行有限公司                         | 248,730.74    | 0.66           |
| 23   | 00066 | 香港鐵路有限公司                         | 247,308.44    | 0.65           |
| 24   | 01928 | 金沙中國有限公司                         | 245,905.99    | 0.65           |
| 25   | 03988 | 中國銀行股份有限公司－H股                    | 239,995.93    | 0.63           |
| 26   | 00027 | 銀河娛樂集團有限公司                       | 228,698.62    | 0.60           |
| 27   | 00960 | 龍湖集團控股有限公司                       | 220,899.54    | 0.58           |
| 28   | 03692 | 翰森製藥集團有限公司                       | 216,043.18    | 0.57           |
| 29   | 00003 | 香港中華煤氣有限公司                       | 213,255.66    | 0.56           |
| 30   | 00267 | 中國中信股份有限公司                       | 211,777.11    | 0.56           |
| 31   | 01109 | 華潤置地有限公司                         | 209,293.08    | 0.55           |
| 32   | 02007 | 碧桂園控股有限公司                        | 208,231.67    | 0.55           |
| 33   | 00945 | Manulife Financial Corporation * | –             | 199,764.76 不適用 |
| 34   | 00001 | 長江和記實業有限公司                       | 192,040.78    | 0.51           |
| 35   | 00002 | 中電控股有限公司                         | 192,010.24    | 0.51           |
| 36   | 02020 | 安踏體育用品有限公司                       | 184,829.01    | 0.49           |
| 37   | 02269 | 藥明生物技術有限公司                       | 184,651.62    | 0.49           |
| 38   | 01177 | 中國生物製藥有限公司                       | 183,693.57    | 0.49           |
| 39   | 06862 | 海底撈國際控股有限公司                      | 173,310.00    | 0.46           |
| 40   | 01113 | 長江實業集團有限公司                       | 170,635.10    | 0.45           |
| 41   | 03328 | 交通銀行股份有限公司－H股                    | 167,356.70    | 0.44           |
| 42   | 03968 | 招商銀行股份有限公司－H股                    | 163,665.63    | 0.43           |
| 43   | 00981 | 中芯國際集成電路製造有限公司                   | 152,903.34    | 0.40           |
| 44   | 01918 | 融創中國控股有限公司                       | 151,021.02    | 0.40           |
| 45   | 00012 | 恒基兆業地產有限公司                       | 142,336.78    | 0.38           |
| 46   | 02313 | 申洲國際集團控股有限公司                     | 140,400.97    | 0.37           |
| 47   | 00291 | 華潤啤酒(控股)有限公司                     | 140,148.44    | 0.37           |
| 48   | 00669 | 創科實業有限公司                         | 138,801.20    | 0.37           |
| 49   | 06186 | 中國飛鶴有限公司                         | 138,645.44    | 0.37           |
| 50   | 02382 | 舜宇光學科技(集團)有限公司                   | 136,009.36    | 0.36           |
| 總值   |       |                                  | 24,648,793.96 | 65.20          |
| 市場總值 |       |                                  | 37,802,933.53 | 100.00         |

註：

\* 不包括市場總值內

# 主 板 股 份

## 賣空交易(金額)

|      |     | 賣空交易<br>(百萬港元) | 市場成交金額<br>(百萬港元)* | 佔市場成交<br>百分比 |
|------|-----|----------------|-------------------|--------------|
| 2019 | 第2季 | 809,812.75     | 5,590,062.03      | 14.49        |
|      | 第3季 | 775,830.36     | 5,005,599.30      | 15.50        |
|      | 第4季 | 682,349.40     | 4,781,146.46      | 14.27        |
| 2020 | 第1季 | 1,112,964.87   | 7,498,539.15      | 14.84        |
|      | 第2季 | 966,888.71     | 6,841,267.89      | 14.13        |

\* 包括主板及GEM市場總額

## 賣空交易(股數)

|      |     | 賣空交易<br>(百萬股) | 市場成交股數<br>(百萬股)* | 佔市場成交<br>百分比 |
|------|-----|---------------|------------------|--------------|
| 2019 | 第2季 | 73,356.84     | 14,806,813.31    | 0.50         |
|      | 第3季 | 66,945.13     | 13,469,789.17    | 0.50         |
|      | 第4季 | 56,995.38     | 11,472,367.54    | 0.50         |
| 2020 | 第1季 | 83,289.61     | 12,608,920.66    | 0.66         |
|      | 第2季 | 68,573.75     | 12,209,730.73    | 0.56         |

\* 包括主板及GEM市場總股數

## 新上市統計—公司

|      |     | 新上市<br>公司數目 | GEM公司<br>公司轉板數目* | 集資金額<br>(百萬港元)# |
|------|-----|-------------|------------------|-----------------|
| 2019 | 第2季 | 38          | 2                | 50,600.82       |
|      | 第3季 | 20          | 2                | 61,865.95       |
|      | 第4季 | 58          | 10               | 179,963.81      |
| 2020 | 第1季 | 35          | 2                | 14,316.03       |
|      | 第2季 | 19          | 3                | 73,372.93       |

\* 祇包括引用《GEM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GEM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

2020年第2季

| 股份代號  | 公司                        | 上市日期       | 已發行股數         | 集資金額(百萬港元) |
|-------|---------------------------|------------|---------------|------------|
| 06063 | 智中國際控股有限公司                | 2020/04/15 | 2,000,000,000 | 125.00     |
| 01942 | MOG Holdings Ltd.         | 2020/04/15 | 500,000,000   | 125.00     |
| 03390 | 滿貫集團控股有限公司                | 2020/04/15 | 800,000,000   | 286.71     |
| 01162 | 瑩嵐集團有限公司*                 | 2020/04/20 | 600,000,000   | -          |
| 09926 | 康方生物科技(開曼)有限公司-B          | 2020/04/24 | 787,057,176   | 2,967.72   |
| 01953 | Rimbaco Group Global Ltd. | 2020/04/28 | 1,260,000,000 | 126.00     |
| 01376 | Raffles Interior Ltd.     | 2020/05/07 | 1,000,000,000 | 125.00     |
| 01147 | 伊登軟件控股有限公司                | 2020/05/13 | 2,000,000,000 | 125.00     |
| 01936 | Ritamix Global Ltd.       | 2020/05/13 | 500,000,000   | 125.00     |
| 09983 | 建業新生活有限公司                 | 2020/05/15 | 1,245,000,000 | 2,363.25   |
| 09996 | 沛嘉醫療有限公司-B                | 2020/05/15 | 632,918,000   | 2,693.94   |
| 09939 | 開拓藥業有限公司-B                | 2020/05/22 | 369,389,600   | 1,860.80   |
| 09978 | 方圓房地產服務集團有限公司*            | 2020/05/28 | 400,000,000   | -          |
| 09923 | 移卡有限公司                    | 2020/06/01 | 426,205,072   | 1,832.50   |
| 02381 | 蜆壳電業有限公司                  | 2020/06/02 | 2,000,000,000 | 125.00     |
| 01645 | 海納智能裝備國際控股有限公司            | 2020/06/03 | 470,004,000   | 168.37     |
| 09999 | NetEase, Inc.             | 2020/06/11 | 3,455,117,456 | 24,255.85  |
| 06812 | 永順控股香港有限公司*               | 2020/06/11 | 600,000,000   | -          |
| 09618 | 京東集團股份有限公司-SW             | 2020/06/18 | 3,109,881,733 | 30,058.00  |
| 09958 | 力天影業控股有限公司                | 2020/06/22 | 300,000,000   | 192.00     |
| 06078 | 海吉亞醫療控股有限公司               | 2020/06/29 | 600,000,000   | 2,220.00   |
| 09997 | 康基醫療控股有限公司                | 2020/06/29 | 1,252,207,500 | 3,597.79   |
| 總額    |                           |            |               | 73,372.93  |

\* 原為GEM上市公司，後引用於2008年7月1日生效的《GEM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。

# 主 板 股 份

## 除牌上市公司

2020年第2季

| 股份代號  | 公 司                       | 最後買賣日期     | 除牌日期       |
|-------|---------------------------|------------|------------|
| 00246 | 瑞金礦業有限公司                  | 2011/05/26 | 2020/04/02 |
| 00161 | 中航國際控股股份有限公司－H股           | 2020/03/11 | 2020/04/17 |
| 00647 | Joyce Boutique Group Ltd. | 2020/03/24 | 2020/04/27 |
| 00494 | 利豐有限公司                    | 2020/05/15 | 2020/05/28 |
| 01228 | 奇峰國際集團有限公司                | 2014/11/20 | 2020/06/04 |
| 01035 | BBI生命科學有限公司               | 2020/05/12 | 2020/06/09 |
| 01619 | 天合化工集團有限公司                | 2015/03/26 | 2020/06/11 |

# 主 板 股 份

## 公司名稱更改

2020年第2季

| 股份代號  | 原有名稱               | 新名稱                | 生效日期       | 採用日期       |
|-------|--------------------|--------------------|------------|------------|
| 00750 | 中國興業太陽能技術控股有限公司    | 中國水發興業能源集團有限公司     | 2020/02/12 | 2020/04/09 |
| 01323 | 友川集團控股有限公司         | 華盛國際控股有限公司         | 2020/03/27 | 2020/04/24 |
| 06168 | 中國優通控股有限公司         | 中國優通未來空間產業集團控股有限公司 | 2020/03/09 | 2020/05/06 |
| 01826 | 達飛控股有限公司           | 旭通控股有限公司           | 2020/04/09 | 2020/05/11 |
| 00860 | 力世紀有限公司*           | 力世紀有限公司            | 2020/03/13 | 2020/05/13 |
| 06820 | FriendTimes Inc. # | 友誼時光股份有限公司         | 2020/03/30 | 2020/05/20 |
| 00697 | 首長國際企業有限公司         | 首程控股有限公司           | 2020/05/28 | 2020/06/10 |
| 03318 | 中國香精香料有限公司         | 中國波頓集團有限公司         | 2020/05/19 | 2020/06/16 |
| 03380 | 龍光地產控股有限公司         | 龍光集團有限公司           | 2020/05/25 | 2020/06/18 |
| 00090 | 普星潔能有限公司           | 普星能量有限公司           | 2020/06/05 | 2020/06/24 |
| 00813 | 世茂房地產控股有限公司        | 世茂集團控股有限公司         | 2020/05/27 | 2020/06/24 |
| 00919 | 現代美容控股有限公司         | 現代健康科技控股有限公司       | 2020/05/28 | 2020/06/26 |
| 01039 | 鑫網易商集團有限公司         | 暢由聯盟集團有限公司         | 2020/06/03 | 2020/06/29 |
| 00395 | 中國智能集團控股有限公司       | 環球智能控股有限公司         | 2020/05/29 | 2020/06/30 |

\* 祇改英文名稱

# 祇改中文名稱

# 主 板 股 份

## 紅股／紅利認股權證

2020年第2季

| 股份代號  | 公司                   | 詳情    | 除淨日        |
|-------|----------------------|-------|------------|
| 01858 | 北京市春立正達醫療器械股份有限公司－H股 | 10送15 | 2020/04/20 |
| 06196 | 鄭州銀行股份有限公司－H股        | 10送1  | 2020/05/26 |
| 02359 | 無錫藥明康德新藥開發股份有限公司－H股  | 10送4  | 2020/05/26 |
| 00003 | 香港中華煤氣有限公司           | 20送1  | 2020/06/09 |
| 01558 | 宜昌東陽光長江藥業股份有限公司－H股   | 1送1   | 2020/06/09 |
| 01093 | 石藥集團有限公司             | 5送1   | 2020/06/18 |
| 06122 | 吉林九台農村商業銀行股份有限公司－H股  | 100送5 | 2020/06/22 |
| 01528 | 紅星美凱龍家居集團股份有限公司－H股   | 10送1  | 2020/06/24 |
| 01787 | 山東黃金礦業股份有限公司－H股      | 10送4  | 2020/06/29 |

## 股份拆細及合併

2020年第2季

| 股份代號  | 公司             | 詳情       | 生效日期       |
|-------|----------------|----------|------------|
| 00080 | 中國新經濟投資有限公司    | 4股合併為1股  | 2020/04/07 |
| 01142 | 西伯利亞礦業集團有限公司   | 10股合併為1股 | 2020/04/24 |
| 00205 | 財訊傳媒集團有限公司     | 20股合併為1股 | 2020/05/04 |
| 00243 | 品質國際集團有限公司     | 12股合併為1股 | 2020/05/05 |
| 02133 | 信盛礦業集團有限公司     | 10股合併為1股 | 2020/05/12 |
| 00613 | 梧桐國際發展有限公司     | 10股合併為1股 | 2020/05/12 |
| 00745 | 中國國家文化產業集團有限公司 | 20股合併為1股 | 2020/05/21 |
| 01676 | 中國升海食品控股有限公司   | 10股合併為1股 | 2020/05/27 |
| 01143 | 環亞國際實業有限公司     | 20股合併為1股 | 2020/05/29 |
| 00017 | 新世界發展有限公司      | 4股合併為1股  | 2020/06/23 |
| 01822 | 弘達金融控股有限公司     | 20股合併為1股 | 2020/06/26 |
| 01192 | 泰山石化集團有限公司     | 4股合併為1股  | 2020/06/30 |

# 主 板 股 份

## 供股／公開售股

2020年第2季

| 月份 | 股份代號  | 公司             | 比率                | 集資金額<br>(百萬港元) |
|----|-------|----------------|-------------------|----------------|
| 4月 | 01400 | 滿地科技股份有限公司     | 股權2供1，每股供0.139港元  | 11.03          |
| 5月 | 00080 | 中國新經濟投資有限公司    | 股權1供1，每股供0.16港元   | 40.49          |
|    |       |                | (4股合併為1股後)        |                |
|    | 00067 | 中國旭光高新材料集團有限公司 | 優先發售每持有1股可獲發1股    | 33.62          |
|    |       |                | 每股認購股份供0.24港元     |                |
|    |       |                | (40股合併為1股後)       |                |
| 6月 | 01049 | 時富投資集團有限公司     | 公開售股1供2，每股供0.06港元 | 46.99          |
| 總額 |       |                |                   | 132.13         |



# 主 板 股 份

## 股份配售\*

| 月份   | 股份代號  | 公司       | 配售股份數目        | 配售價<br>(港元) | 集資金額<br>(百萬港元) |
|------|-------|----------|---------------|-------------|----------------|
| 2020 |       |          |               |             |                |
| 4 月  | 00948 | 阿爾法企業    | 50,000,000    | 1.100       | 55.00          |
|      | 00871 | 中國疏浚環保   | 191,917,000   | 0.040       | 7.68           |
|      | 00875 | 中國金控     | 200,000,000   | 0.650       | 130.00         |
|      | 01055 | 中國南方航空股份 | 608,695,652   | 5.750       | 3,500.00       |
|      | 01332 | 中國透雲     | 135,135,135   | 0.370       | 50.00          |
|      | 00033 | 雲銅股份     | 181,463,440   | 0.100       | 18.15          |
|      | 03893 | 易緯集團     | 480,000,000   | 0.023       | 11.18          |
|      | 00174 | 盛洋投資     | 90,278,000    | 1.000       | 90.28          |
|      | 00809 | 大成生化科技   | 1,228,607,685 | 0.108       | 132.69         |
|      | 03692 | 翰森製藥     | 130,380,000   | 26.750      | 3,487.67       |
|      | 00582 | 藍鼎國際     | 586,978,800   | 0.235       | 137.94         |
|      | 01064 | 中華國際     | 108,000,000   | 0.150       | 16.20          |
|      |       |          |               |             |                |
|      |       |          |               |             |                |
| 5 月  | 03313 | 雅高控股     | 203,870,000   | 0.090       | 18.35          |
|      | 01193 | 華潤燃氣     | 90,000,000    | 40.810      | 3,672.90       |
|      | 02342 | 京信通信     | 230,000,000   | 3.050       | 701.50         |
|      | 00339 | 核心經濟投資   | 33,400,000    | 0.170       | 5.68           |
|      | 00174 | 盛洋投資     | 90,278,000    | 1.000       | 90.28          |
|      | 01282 | 寶新金融     | 1,600,000,000 | 0.250       | 400.00         |
|      | 00061 | 綠領控股     | 402,351,843   | 0.019       | 7.64           |
|      | 00061 | 綠領控股     | 333,693,095   | 0.021       | 7.01           |
|      | 00061 | 綠領控股     | 1,015,931,132 | 0.021       | 21.54          |
|      | 03900 | 綠城中國     | 323,000,000   | 9.500       | 3,068.50       |
|      | 02869 | 綠城服務     | 155,208,702   | 8.383       | 1,301.16       |
|      | 00263 | 高富集團控股   | 28,038,335    | 0.200       | 5.61           |
|      | 02280 | 慧聰集團     | 200,000,000   | 1.200       | 240.00         |
|      | 01059 | 看通集團     | 19,731,000    | 0.320       | 6.31           |
|      | 00456 | 新城市建設發展  | 712,328,767   | 0.073       | 52.00          |
|      | 01561 | 聯洋智能控股   | 14,288,000    | 3.500       | 50.01          |
|      | 01280 | 奇點國際     | 25,379,600    | 1.090       | 27.66          |
|      | 00813 | 世茂集團     | 78,204,000    | 29.730      | 2,325.00       |
|      | 02138 | 香港醫思醫療集團 | 8,078,927     | 4.200       | 33.93          |
|      | 00185 | 正商實業     | 1,235,360,000 | 0.330       | 407.67         |
|      |       |          |               |             |                |
|      |       |          |               |             |                |
|      |       |          |               |             |                |

# 主 板 股 份

| 月份   | 股份代號  | 公司        | 配售股份數目        | 配售價<br>(港元) | 集資金額<br>(百萬港元) |
|------|-------|-----------|---------------|-------------|----------------|
| 2020 |       |           |               |             |                |
| 6月   | 01466 | 錢唐控股      | 369,900,000   | 0.025       | 9.25           |
|      | 02202 | 萬科企業      | 315,589,200   | 25.000      | 7,889.73       |
|      | 00884 | 旭輝控股集團    | 185,000,000   | 6.280       | 1,161.80       |
|      | 03309 | 希瑪眼科      | 68,000,000    | 5.800       | 394.40         |
|      | 02369 | 酷派集團      | 200,000,000   | 0.130       | 26.00          |
|      | 06878 | 鼎豐集團控股    | 265,000,000   | 0.380       | 100.70         |
|      | 01995 | 永升生活服務    | 134,000,000   | 11.780      | 1,578.52       |
|      | 03800 | 保利協鑫能源    | 1,300,000,000 | 0.203       | 263.90         |
|      | 00175 | 吉利汽車      | 600,000,000   | 10.800      | 6,480.00       |
|      | 02869 | 綠城服務      | 266,600,000   | 10.180      | 2,713.99       |
|      | 06093 | 和泓服務      | 80,000,000    | 1.280       | 102.40         |
|      | 01396 | 毅德國際      | 522,510,000   | 0.450       | 235.13         |
|      | 02168 | 佳兆業美好     | 14,000,000    | 32.550      | 455.70         |
|      | 01268 | 美東汽車      | 81,000,000    | 15.840      | 1,283.04       |
|      | 01569 | 民生教育      | 200,000,000   | 1.220       | 244.00         |
|      | 01653 | MOS HOUSE | 400,000,000   | 0.040       | 16.00          |
|      | 02221 | 創業集團控股    | 49,768,000    | 0.221       | 11.00          |
|      | 00970 | 耀萊集團      | 318,500,000   | 0.157       | 50.00          |
|      | 00913 | 合一投資      | 37,240,000    | 0.150       | 5.59           |
|      | 01748 | 信源企業集團    | 40,000,000    | 1.092       | 43.68          |
|      | 03669 | 永達汽車      | 120,000,000   | 8.290       | 994.80         |
|      | 01538 | 中奧到家      | 36,928,000    | 0.980       | 36.19          |
| 總 額  |       |           |               |             | 44,175.35      |

\* 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。

# 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) | 界內證*<br>(百萬港元) | 總額<br>(百萬港元) |
|------|-----|------------------|----------------|----------------|--------------|
| 2019 | 第2季 | 2.21             | 614,814.59     | -              | 614,816.80   |
|      | 第3季 | 0.82             | 434,520.06     | 80.41          | 434,601.30   |
|      | 第4季 | 4.85             | 359,048.09     | 79.35          | 359,132.29   |
| 2020 | 第1季 | 0.96             | 498,963.93     | 278.49         | 499,243.38   |
|      | 第2季 | 7.35             | 465,458.81     | 275.58         | 465,741.75   |

\* 界內證於2019年7月18日開始進行交易

## 認 股 權 證 市 價 總 值

|      |     | 股份認股權證 |        | 衍生權證  |            | 界內證* |          | 總額    |             |
|------|-----|--------|--------|-------|------------|------|----------|-------|-------------|
|      |     | 數目     | (百萬港元) | 數目    | (百萬港元)     | 數目   | (百萬港元)   | 總數    | (百萬港元)      |
| 2019 | 第2季 | 2      | 46.47  | 5,981 | 72,589.26  | -    | -        | 5,983 | 72,635.73   |
|      | 第3季 | 1      | 17.92  | 5,295 | 49,285.74  | 412  | 3,016.30 | 5,708 | 52,319.97   |
|      | 第4季 | 2      | 55.92  | 4,571 | 61,435.12  | 922  | 6,216.69 | 5,495 | 67,707.73   |
| 2020 | 第1季 | 2      | 40.00  | 5,747 | 77,350.74  | 860  | 4,959.26 | 6,609 | 82,350.00   |
|      | 第2季 | 2      | 36.29  | 6,172 | 131,599.84 | 833  | 4,269.03 | 7,007 | 135,905.160 |

\* 界內證於2019年7月18日開始進行交易

## 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 | 界內證*<br>權證數目 | 集資金額<br>(百萬港元) |
|------|-----|-----------------|---------------|--------------|----------------|
| 2019 | 第2季 | 0               | 2,083         | -            | 39,993.21      |
|      | 第3季 | 0               | 1,951         | 412          | 39,516.13      |
|      | 第4季 | 2               | 1,940         | 511          | 39,549.67      |
| 2020 | 第1季 | 0               | 3,044         | 253          | 65,494.70      |
|      | 第2季 | 0               | 2,416         | 256          | 50,382.02      |

\* 界內證於2019年7月18日開始進行交易

## 新 上 市 股 份 認 股 權 證

2020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       |        |                  |      |     | -              |

# 主 板 認 股 權 證

## 新上市衍生權證

2020年第2季

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 到期日 (百萬港元) | 集資金額   |
|----------|--------------------------------------------------------------|--------------|------------|------------|--------|
| 25381    | BOCI Asia Ltd. - Agricultural Bank European Wts Dec 2020 A   | 70,000,000   | 2020/04/01 | 2020/12/23 | 10.50  |
| 25368    | BOCI Asia Ltd. - China Life European Warrants Dec 2020 B     | 100,000,000  | 2020/04/01 | 2020/12/23 | 15.00  |
| 25379    | BOCI Asia Ltd. - Geely Auto European Warrants Dec 2020 A     | 100,000,000  | 2020/04/01 | 2020/12/23 | 25.00  |
| 25438    | Credit Suisse AG - CHALCO European Wts Sep 2020 B            | 40,000,000   | 2020/04/01 | 2020/09/30 | 10.00  |
| 25442    | Credit Suisse AG - Chi Res Power European Wts Nov 2020 A     | 40,000,000   | 2020/04/01 | 2020/11/30 | 10.00  |
| 25444    | Credit Suisse AG - CRRC European Warrants Sep 2022 A         | 80,000,000   | 2020/04/01 | 2022/09/08 | 13.60  |
| 25447    | Credit Suisse AG - Sands China European Put Wts Sep 2020 A   | 50,000,000   | 2020/04/01 | 2020/09/30 | 13.00  |
| 25425    | Citigroup Global - Galaxy Ent European Warrants Jul 2020 A   | 100,000,000  | 2020/04/01 | 2020/07/28 | 15.00  |
| 25423    | Citigroup Global - Galaxy Ent European Warrants Oct 2020 A   | 100,000,000  | 2020/04/01 | 2020/10/12 | 25.00  |
| 25422    | Citigroup Global - HKEX European Put Warrants Nov 2020 B     | 100,000,000  | 2020/04/01 | 2020/11/30 | 25.00  |
| 25421    | Citigroup Global - Meituan European Warrants Sep 2020 C      | 100,000,000  | 2020/04/01 | 2020/09/03 | 15.00  |
| 25385    | Guotai Junan - AIA European Warrants Oct 2020 A              | 100,000,000  | 2020/04/01 | 2020/10/09 | 29.10  |
| 25384    | Guotai Junan - China Life European Warrants Sep 2020 A       | 100,000,000  | 2020/04/01 | 2020/09/28 | 21.90  |
| 25388    | Guotai Junan - China Mobile European Warrants Oct 2020 A     | 100,000,000  | 2020/04/01 | 2020/10/09 | 17.50  |
| 25454    | Goldman Sachs SP (Asia) - Alibaba European Wts Sep 2020 C    | 150,000,000  | 2020/04/01 | 2020/09/17 | 24.90  |
| 25455    | Goldman Sachs SP (Asia) - BYD Company Euro Wts Jul 2020 A    | 70,000,000   | 2020/04/01 | 2020/07/02 | 10.50  |
| 25457    | Goldman Sachs SP (Asia) - HSI European Put Wts Sep 2020 C    | 150,000,000  | 2020/04/01 | 2020/09/29 | 22.50  |
| 25367    | HK Bank - HKEX European Put Warrants Dec 2020 A              | 100,000,000  | 2020/04/01 | 2020/12/23 | 16.00  |
| 25363    | HK Bank - Tencent European Put Warrants Sep 2020 C           | 100,000,000  | 2020/04/01 | 2020/09/23 | 15.00  |
| 25365    | HK Bank - Tencent European Put Warrants Sep 2020 D           | 100,000,000  | 2020/04/01 | 2020/09/14 | 22.00  |
| 25393    | J P Morgan SP BV - CSOP A50 ETF Euro Put Wts Oct 2020 A      | 80,000,000   | 2020/04/01 | 2020/10/05 | 20.24  |
| 25398    | J P Morgan SP BV - A50 China European Put Wts Oct 2020 A     | 80,000,000   | 2020/04/01 | 2020/10/05 | 20.40  |
| 25403    | J P Morgan SP BV - Henganintl European Warrants Oct 2020 A   | 50,000,000   | 2020/04/01 | 2020/10/05 | 17.05  |
| 25392    | J P Morgan SP BV - HSCEI European Put Warrants Oct 2020 A    | 200,000,000  | 2020/04/01 | 2020/10/29 | 50.40  |
| 25391    | J P Morgan SP BV - HSI European Put Warrants Oct 2020 C      | 400,000,000  | 2020/04/01 | 2020/10/29 | 103.20 |
| 25404    | J P Morgan SP BV - PSBC European Warrants Oct 2020 A         | 50,000,000   | 2020/04/01 | 2020/10/05 | 12.70  |
| 25400    | J P Morgan SP BV - Tencent European Put Warrants Oct 2020 A  | 250,000,000  | 2020/04/01 | 2020/10/05 | 66.25  |
| 25382    | Macquarie Bank Ltd. - AAC Tech European Wts Jun 2021 A       | 40,000,000   | 2020/04/01 | 2021/06/02 | 10.00  |
| 25357    | Macquarie Bank Ltd. - China East Air European Wts May 2021 A | 14,500,000   | 2020/04/01 | 2021/05/14 | 10.24  |
| 25356    | Macquarie Bank Ltd. - Tencent European Warrants Oct 2020 E   | 7,600,000    | 2020/04/01 | 2020/10/06 | 10.02  |
| 25407    | SG Issuer - Alibaba European Put Warrants Sep 2020 C         | 150,000,000  | 2020/04/01 | 2020/09/30 | 37.50  |
| 25411    | SG Issuer - CKH Holdings European Warrants Jun 2021 A        | 150,000,000  | 2020/04/01 | 2021/06/25 | 22.50  |
| 25410    | SG Issuer - China Life European Warrants Dec 2020 B          | 120,000,000  | 2020/04/01 | 2020/12/23 | 18.00  |
| 25414    | SG Issuer - A50 China European Warrants Mar 2021 A           | 200,000,000  | 2020/04/01 | 2021/03/24 | 41.00  |
| 25426    | UBS AG - Geely Auto European Warrants Jul 2020 A             | 70,000,000   | 2020/04/01 | 2020/07/29 | 11.62  |
| 25435    | UBS AG - Link REIT European Warrants Oct 2020 A              | 60,000,000   | 2020/04/01 | 2020/10/23 | 20.64  |
| 25433    | UBS AG - Tencent European Put Warrants Sep 2020 B            | 300,000,000  | 2020/04/01 | 2020/09/23 | 45.00  |
| 25474    | BOCI Asia Ltd. - Bud Apac European Warrants Dec 2020 A       | 70,000,000   | 2020/04/02 | 2020/12/28 | 11.90  |
| 25478    | BOCI Asia Ltd. - BYD Company European Warrants Aug 2022 A    | 80,000,000   | 2020/04/02 | 2022/08/26 | 18.40  |
| 25477    | BOCI Asia Ltd. - Evergrande European Warrants Sep 2020 B     | 70,000,000   | 2020/04/02 | 2020/09/17 | 10.50  |
| 25480    | BOCI Asia Ltd. - HSI European Warrants Sep 2020 A            | 200,000,000  | 2020/04/02 | 2020/09/29 | 32.00  |
| 25481    | BOCI Asia Ltd. - HSI European Warrants Sep 2020 B            | 200,000,000  | 2020/04/02 | 2020/09/29 | 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       |       |
|----------|--------------------------------------------------------------|-------------|------------|------------|-------|
|          |                                                              | 發行單位        | 上市日期       | 到期日(百萬港元)  |       |
| 25484    | BOCI Asia Ltd. - HSI European Warrants Sep 2020 C            | 200,000,000 | 2020/04/02 | 2020/09/29 | 30.00 |
| 25483    | BOCI Asia Ltd. - HSI European Warrants Nov 2020 A            | 200,000,000 | 2020/04/02 | 2020/11/27 | 32.00 |
| 25473    | BOCI Asia Ltd. - ZA Online European Warrants Sep 2020 A      | 50,000,000  | 2020/04/02 | 2020/09/16 | 17.00 |
| 25462    | BNP Paribas Issuance B.V. - Alibaba European Wts Nov 2020 C  | 100,000,000 | 2020/04/02 | 2020/11/09 | 19.00 |
| 25463    | BNP Paribas Issuance B.V. - Alibaba European Wts Jan 2021 C  | 60,000,000  | 2020/04/02 | 2021/01/05 | 15.60 |
| 25470    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Aug 2020 C | 80,000,000  | 2020/04/02 | 2020/08/04 | 12.00 |
| 25467    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Dec 2020 A | 80,000,000  | 2020/04/02 | 2020/12/02 | 12.80 |
| 25464    | BNP Paribas Issuance B.V. - Ping An European Wt Dec 2020 A   | 40,000,000  | 2020/04/02 | 2020/12/02 | 20.00 |
| 25466    | BNP Paribas Issuance B.V. - Ping An European Wt Feb 2021 A   | 40,000,000  | 2020/04/02 | 2021/02/02 | 11.20 |
| 25461    | BNP Paribas Issuance B.V. - Tencent European Wts Jan 2021 A  | 60,000,000  | 2020/04/02 | 2021/01/05 | 20.40 |
| 25505    | Credit Suisse AG - Alibaba European Warrants Oct 2020 B      | 200,000,000 | 2020/04/02 | 2020/10/22 | 30.00 |
| 25502    | Credit Suisse AG - China Life European Warrants Dec 2020 B   | 100,000,000 | 2020/04/02 | 2020/12/23 | 15.00 |
| 25498    | Credit Suisse AG - HKEX European Put Warrants Nov 2020 B     | 100,000,000 | 2020/04/02 | 2020/11/23 | 15.00 |
| 25501    | Credit Suisse AG - Ping An European Put Warrants Oct 2020 A  | 150,000,000 | 2020/04/02 | 2020/10/29 | 22.50 |
| 25504    | Credit Suisse AG - Techtronic Ind European Wts Feb 2021 A    | 60,000,000  | 2020/04/02 | 2021/02/26 | 15.00 |
| 25525    | Citigroup Global - Alibaba Group Euro Warrants Nov 2020 B    | 100,000,000 | 2020/04/02 | 2020/11/23 | 15.00 |
| 25538    | Citigroup Global - China Mobile European Warrants Jul 2020 A | 100,000,000 | 2020/04/02 | 2020/07/02 | 21.50 |
| 25535    | Citigroup Global - China Mobile European Warrants Sep 2020 A | 100,000,000 | 2020/04/02 | 2020/09/25 | 15.00 |
| 25528    | Citigroup Global - Tencent European Put Warrants Sep 2020 B  | 100,000,000 | 2020/04/02 | 2020/09/23 | 21.40 |
| 25529    | Citigroup Global - Xiaomi European Warrants Sep 2020 C       | 100,000,000 | 2020/04/02 | 2020/09/23 | 19.90 |
| 25545    | Goldman Sachs SP (Asia) - Alibaba European Wts Sep 2020 D    | 150,000,000 | 2020/04/02 | 2020/09/23 | 22.50 |
| 25544    | Goldman Sachs SP (Asia) - China Life Euro Wts Dec 2020 B     | 100,000,000 | 2020/04/02 | 2020/12/23 | 15.00 |
| 25547    | Goldman Sachs SP (Asia) - Sunny Optical Euro Wts Dec 2020 A  | 80,000,000  | 2020/04/02 | 2020/12/23 | 12.00 |
| 25496    | J P Morgan SP BV - CHALCO European Warrants Oct 2020 A       | 40,000,000  | 2020/04/02 | 2020/10/30 | 10.04 |
| 25494    | J P Morgan SP BV - Luye Pharma European Warrants Nov 2020 A  | 70,000,000  | 2020/04/02 | 2020/11/23 | 10.50 |
| 25472    | Macquarie Bank Ltd. - AAC Tech Euro Put Warrants Jan 2021 A  | 16,600,000  | 2020/04/02 | 2021/01/05 | 10.04 |
| 25471    | Macquarie Bank Ltd. - Ch Oilfield European Wts May 2021 B    | 36,500,000  | 2020/04/02 | 2021/05/18 | 10.51 |
| 25486    | Morgan Stanley Asia Products Ltd. - CCB Euro Wts Aug 2020 A  | 68,000,000  | 2020/04/02 | 2020/08/26 | 13.60 |
| 25485    | Morgan Stanley Asia Products Ltd. - Link Euro Wt Dec 2021 A  | 68,000,000  | 2020/04/02 | 2021/12/23 | 12.04 |
| 25488    | SG Issuer - Alibaba European Put Warrants Nov 2020 A         | 150,000,000 | 2020/04/02 | 2020/11/23 | 26.25 |
| 25489    | SG Issuer - Meituan European Put Warrants Oct 2020 A         | 80,000,000  | 2020/04/02 | 2020/10/30 | 20.00 |
| 25490    | SG Issuer - Ping An European Warrants Feb 2021 C             | 200,000,000 | 2020/04/02 | 2021/02/26 | 50.00 |
| 25491    | SG Issuer - Xiaomi European Put Warrants Dec 2020 A          | 70,000,000  | 2020/04/02 | 2020/12/23 | 10.85 |
| 25487    | UBS AG - AIA European Warrants Sep 2020 A                    | 100,000,000 | 2020/04/02 | 2020/09/03 | 15.10 |
| 25512    | Bank Vontobel - AIA European Warrants Sep 2020 A             | 40,000,000  | 2020/04/02 | 2020/09/03 | 11.20 |
| 25508    | Bank Vontobel - AIA European Warrants Jan 2021 A             | 80,000,000  | 2020/04/02 | 2021/01/08 | 12.00 |
| 25514    | Bank Vontobel - AIA European Put Warrants Sep 2020 A         | 80,000,000  | 2020/04/02 | 2020/09/30 | 16.00 |
| 25521    | Bank Vontobel - China Mobile European Warrants Oct 2020 A    | 30,000,000  | 2020/04/02 | 2020/10/27 | 11.10 |
| 25518    | Bank Vontobel - Ping An European Warrants Oct 2020 B         | 30,000,000  | 2020/04/02 | 2020/10/28 | 12.00 |
| 25516    | Bank Vontobel - SHK Ppt European Warrants Dec 2020 A         | 70,000,000  | 2020/04/02 | 2020/12/21 | 10.50 |
| 25524    | Bank Vontobel - SPDR Gold Trust European Warrants Oct 2020 A | 21,000,000  | 2020/04/02 | 2020/10/05 | 10.08 |
| 25506    | Bank Vontobel - Tencent European Warrants Aug 2020 B         | 80,000,000  | 2020/04/02 | 2020/08/26 | 16.00 |
| 25507    | Bank Vontobel - Tencent European Put Warrants Sep 2020 A     | 80,000,000  | 2020/04/02 | 2020/09/28 | 20.00 |
| 25574    | BOCI Asia Ltd. - CKH Holdings European Warrants Jun 2021 A   | 100,000,000 | 2020/04/03 | 2021/06/30 | 15.00 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 25575    | BOCI Asia Ltd. - HSCEI European Warrants Sep 2020 B          | 100,000,000  | 2020/04/03 | 2020/09/29 23.00  |
| 25571    | BOCI Asia Ltd. - MTR European Warrants Sep 2020 A            | 50,000,000   | 2020/04/03 | 2020/09/30 11.50  |
| 25565    | BNP Paribas Issuance B.V. - AIA European Wts Oct 2020 A      | 40,000,000   | 2020/04/03 | 2020/10/06 13.20  |
| 25570    | BNP Paribas Issuance B.V. - CITIC Sec Euro Wts Apr 2021 A    | 80,000,000   | 2020/04/03 | 2021/04/07 20.80  |
| 25560    | BNP Paribas Issuance B.V. - China Life Euro Wts Oct 2020 B   | 70,000,000   | 2020/04/03 | 2020/10/06 10.50  |
| 25557    | BNP Paribas Issuance B.V. - Galaxy Ent Euro Wts Oct 2020 A   | 40,000,000   | 2020/04/03 | 2020/10/06 13.60  |
| 25569    | BNP Paribas Issuance B.V. - ICBC European Wts Oct 2020 A     | 40,000,000   | 2020/04/03 | 2020/10/06 10.80  |
| 25563    | BNP Paribas Issuance B.V. - Sunny Optical Eu Wt Feb 2021 A   | 60,000,000   | 2020/04/03 | 2021/02/02 15.60  |
| 25568    | BNP Paribas Issuance B.V. - Tencent European Wts Nov 2020 C  | 80,000,000   | 2020/04/03 | 2020/11/03 20.00  |
| 25562    | BNP Paribas Issuance B.V. - Xiaomi Euro Warrants Oct 2020 A  | 80,000,000   | 2020/04/03 | 2020/10/06 22.40  |
| 25561    | BNP Paribas Issuance B.V. - Xiaomi Euro Warrants Apr 2021 A  | 60,000,000   | 2020/04/03 | 2021/04/07 17.40  |
| 25593    | Credit Suisse AG - Anta Sports European Warrants Feb 2021 A  | 80,000,000   | 2020/04/03 | 2021/02/26 20.00  |
| 25594    | Credit Suisse AG - China Aoyuan European Warrants Oct 2020 A | 50,000,000   | 2020/04/03 | 2020/10/05 12.50  |
| 25588    | Credit Suisse AG - China EB Ltd European Warrants Oct 2020 A | 40,000,000   | 2020/04/03 | 2020/10/05 10.00  |
| 25584    | Credit Suisse AG - CKH Holdings European Warrants Jun 2021 A | 200,000,000  | 2020/04/03 | 2021/06/25 30.00  |
| 25587    | Credit Suisse AG - China Mobile European Put Wts Jan 2021 A  | 100,000,000  | 2020/04/03 | 2021/01/26 15.00  |
| 25607    | Credit Suisse AG - Link REIT European Warrants Dec 2021 A    | 100,000,000  | 2020/04/03 | 2021/12/23 15.00  |
| 25579    | Citigroup Global - Ping An European Put Warrants Dec 2020 A  | 100,000,000  | 2020/04/03 | 2020/12/23 15.00  |
| 25578    | Citigroup Global - Ping An European Put Warrants Mar 2021 A  | 100,000,000  | 2020/04/03 | 2021/03/24 15.00  |
| 25636    | Goldman Sachs SP (Asia) - Galaxy Ent European Wts Oct 2020 A | 80,000,000   | 2020/04/03 | 2020/10/09 14.96  |
| 25641    | Goldman Sachs SP (Asia) - HSI European Warrants Sep 2020 D   | 150,000,000  | 2020/04/03 | 2020/09/29 24.15  |
| 25635    | Goldman Sachs SP (Asia) - Ping An Euro Put Wts Oct 2020 A    | 100,000,000  | 2020/04/03 | 2020/10/29 15.00  |
| 25639    | Goldman Sachs SP (Asia) - Tencent European Put Wt Aug 2020 B | 100,000,000  | 2020/04/03 | 2020/08/19 23.30  |
| 25548    | Macquarie Bank Ltd. - HKEX European Warrants Nov 2020 A      | 40,000,000   | 2020/04/03 | 2020/11/03 10.04  |
| 25551    | Macquarie Bank Ltd. - HTSC European Warrants Jun 2021 A      | 34,200,000   | 2020/04/03 | 2021/06/16 10.02  |
| 25554    | Macquarie Bank Ltd. - Huaneng Power European Wts Jan 2021 A  | 29,000,000   | 2020/04/03 | 2021/01/08 10.03  |
| 25549    | Macquarie Bank Ltd. - Tencent European Warrants Dec 2021 A   | 29,500,000   | 2020/04/03 | 2021/12/01 10.03  |
| 25625    | SG Issuer - CC Bank European Warrants Oct 2020 A             | 60,000,000   | 2020/04/03 | 2020/10/30 18.00  |
| 25631    | SG Issuer - HKEX European Put Warrants Nov 2020 B            | 100,000,000  | 2020/04/03 | 2020/11/23 15.00  |
| 25627    | SG Issuer - HSBC European Put Warrants Sep 2020 B            | 60,000,000   | 2020/04/03 | 2020/09/23 13.80  |
| 25628    | SG Issuer - ICBC European Warrants Oct 2020 A                | 50,000,000   | 2020/04/03 | 2020/10/30 12.50  |
| 25629    | SG Issuer - Tencent European Warrants Nov 2020 A             | 200,000,000  | 2020/04/03 | 2020/11/25 33.00  |
| 25634    | SG Issuer - Zijin Mining European Warrants Oct 2020 A        | 40,000,000   | 2020/04/03 | 2020/10/30 12.80  |
| 25580    | UBS AG - Ping An European Put Warrants Oct 2020 A            | 200,000,000  | 2020/04/03 | 2020/10/29 30.00  |
| 25613    | Bank Vontobel - CK Asset European Warrants Sep 2020 A        | 50,000,000   | 2020/04/03 | 2020/09/30 10.50  |
| 25609    | Bank Vontobel - CKH Holdings European Warrants Oct 2020 A    | 40,000,000   | 2020/04/03 | 2020/10/06 10.00  |
| 25622    | Bank Vontobel - HSI European Warrants Oct 2020 B             | 40,000,000   | 2020/04/03 | 2020/10/29 10.00  |
| 25624    | Bank Vontobel - HSI European Warrants Dec 2020 B             | 40,000,000   | 2020/04/03 | 2020/12/30 10.00  |
| 25619    | Bank Vontobel - Sands China Ltd European Warrants Oct 2020 A | 40,000,000   | 2020/04/03 | 2020/10/06 10.00  |
| 25620    | Bank Vontobel - Zijin Mining European Warrants Oct 2020 A    | 30,000,000   | 2020/04/03 | 2020/10/06 10.20  |
| 25644    | BOCI Asia Ltd. - Alibaba European Warrants Nov 2020 B        | 150,000,000  | 2020/04/06 | 2020/11/23 24.00  |
| 25645    | BOCI Asia Ltd. - New World Dev European Warrants Aug 2021 A  | 70,000,000   | 2020/04/06 | 2021/08/24 16.80  |
| 25693    | Credit Suisse AG - AIA European Put Warrants Sep 2021 A      | 150,000,000  | 2020/04/06 | 2021/09/23 22.50  |
| 25678    | Credit Suisse AG - CGS European Warrants Oct 2020 A          | 30,000,000   | 2020/04/06 | 2020/10/05 10.20  |

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|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 25687    | Credit Suisse AG - HTSC European Warrants Nov 2020 A         | 70,000,000   | 2020/04/06 | 2020/11/26 10.50  |
| 25661    | Credit Suisse AG - SUNAC European Put Warrants Oct 2020 A    | 40,000,000   | 2020/04/06 | 2020/10/05 16.00  |
| 25683    | Credit Suisse AG - Vitasoy Intl European Warrants Oct 2020 A | 40,000,000   | 2020/04/06 | 2020/10/05 14.40  |
| 25692    | Credit Suisse AG - Zijin Mining European Warrants Oct 2020 A | 40,000,000   | 2020/04/06 | 2020/10/05 10.00  |
| 25665    | Credit Suisse AG - ZTE European Warrants Oct 2020 A          | 40,000,000   | 2020/04/06 | 2020/10/05 12.80  |
| 25698    | Citigroup Global - CCB European Warrants Jul 2020 A          | 100,000,000  | 2020/04/06 | 2020/07/24 15.00  |
| 25699    | Citigroup Global - CCB European Warrants Aug 2020 A          | 100,000,000  | 2020/04/06 | 2020/08/31 22.30  |
| 25695    | Citigroup Global - CCB European Warrants Oct 2020 A          | 100,000,000  | 2020/04/06 | 2020/10/06 25.00  |
| 25697    | Citigroup Global - China Mobile European Warrants Sep 2020 B | 100,000,000  | 2020/04/06 | 2020/09/24 21.40  |
| 25700    | Citigroup Global - Meituan European Warrants Oct 2020 A      | 100,000,000  | 2020/04/06 | 2020/10/09 15.00  |
| 25707    | Goldman Sachs SP (Asia) - AAC Tech Euro Wts Apr 2021 A       | 80,000,000   | 2020/04/06 | 2021/04/23 12.00  |
| 25706    | Goldman Sachs SP (Asia) - CKH Holdings Euro Wts Jun 2021 A   | 100,000,000  | 2020/04/06 | 2021/06/25 15.00  |
| 25708    | Goldman Sachs SP (Asia) - Tencent European Wts Aug 2020 E    | 150,000,000  | 2020/04/06 | 2020/08/26 22.50  |
| 25651    | Macquarie Bank Ltd. - BYD Electronic European Wts Feb 2021 A | 40,000,000   | 2020/04/06 | 2021/02/02 10.08  |
| 25647    | Macquarie Bank Ltd. - CKH European Put Warrants Aug 2021 A   | 40,000,000   | 2020/04/06 | 2021/08/03 10.00  |
| 25652    | Macquarie Bank Ltd. - CKI Holdings European Wts Jan 2021 A   | 33,000,000   | 2020/04/06 | 2021/01/05 10.03  |
| 25655    | Macquarie Bank Ltd. - China Overseas European Wts Jan 2021 A | 38,000,000   | 2020/04/06 | 2021/01/05 10.03  |
| 25650    | Macquarie Bank Ltd. - Kingdee Int'l European Wts Apr 2021 A  | 40,000,000   | 2020/04/06 | 2021/04/16 10.00  |
| 25648    | Macquarie Bank Ltd. - Meituan European Warrants Feb 2021 A   | 34,000,000   | 2020/04/06 | 2021/02/02 10.27  |
| 25653    | Macquarie Bank Ltd. - Sands China Ltd Euro Wts Jan 2021 A    | 40,000,000   | 2020/04/06 | 2021/01/05 10.00  |
| 25654    | Macquarie Bank Ltd. - Tencent European Warrants Oct 2020 F   | 32,000,000   | 2020/04/06 | 2020/10/27 10.02  |
| 25694    | Morgan Stanley Asia Products Ltd. - Sunny Eu Wt Sep 2020 A   | 68,000,000   | 2020/04/06 | 2020/09/22 10.20  |
| 25656    | SG Issuer - AIA European Put Warrants Sep 2020 A             | 50,000,000   | 2020/04/06 | 2020/09/21 19.75  |
| 25657    | SG Issuer - China Mobile European Put Warrants Jan 2021 A    | 150,000,000  | 2020/04/06 | 2021/01/29 22.50  |
| 25660    | SG Issuer - HSI European Warrants Sep 2020 D                 | 300,000,000  | 2020/04/06 | 2020/09/29 45.00  |
| 25643    | SG Issuer - HSI European Warrants Nov 2020 A                 | 300,000,000  | 2020/04/06 | 2020/11/27 45.00  |
| 25703    | UBS AG - AIA European Warrants Sep 2020 B                    | 100,000,000  | 2020/04/06 | 2020/09/08 15.00  |
| 25702    | UBS AG - Sands China Ltd European Put Warrants Sep 2020 A    | 70,000,000   | 2020/04/06 | 2020/09/23 19.04  |
| 25753    | Credit Suisse AG - AAC Tech European Put Warrants Oct 2020 A | 40,000,000   | 2020/04/07 | 2020/10/06 12.00  |
| 25735    | Credit Suisse AG - China Unicom European Warrants Oct 2020 A | 30,000,000   | 2020/04/07 | 2020/10/06 11.40  |
| 25754    | Credit Suisse AG - GF Sec European Warrants Oct 2020 A       | 60,000,000   | 2020/04/07 | 2020/10/30 15.00  |
| 25739    | Credit Suisse AG - CRRC Times European Warrants Oct 2020 A   | 40,000,000   | 2020/04/07 | 2020/10/06 10.00  |
| 25758    | Goldman Sachs SP (Asia) - CC Bank European Wts Aug 2020 A    | 80,000,000   | 2020/04/07 | 2020/08/24 13.68  |
| 25759    | Goldman Sachs SP (Asia) - Tencent European Put Wt Sep 2020 C | 100,000,000  | 2020/04/07 | 2020/09/23 18.00  |
| 25756    | Goldman Sachs SP (Asia) - Xiaomi European Wts Dec 2020 C     | 100,000,000  | 2020/04/07 | 2020/12/23 15.00  |
| 25714    | Macquarie Bank Ltd. - Fosun Intl European Wts Apr 2021 A     | 36,500,000   | 2020/04/07 | 2021/04/09 10.15  |
| 25712    | Macquarie Bank Ltd. - Nine Dragons European Wts Apr 2021 A   | 40,000,000   | 2020/04/07 | 2021/04/07 10.04  |
| 25709    | Macquarie Bank Ltd. - Sands China European Wts Nov 2020 A    | 36,000,000   | 2020/04/07 | 2020/11/03 10.04  |
| 25713    | Macquarie Bank Ltd. - Swire Pacific A Euro Wts Jan 2021 A    | 23,000,000   | 2020/04/07 | 2021/01/05 10.19  |
| 25716    | Macquarie Bank Ltd. - Travelsky Tech European Wts May 2021 A | 38,000,000   | 2020/04/07 | 2021/05/07 10.03  |
| 25762    | SG Issuer - Tencent European Warrants Sep 2020 E             | 200,000,000  | 2020/04/07 | 2020/09/18 30.00  |
| 25763    | SG Issuer - Tencent European Put Warrants Sep 2020 D         | 100,000,000  | 2020/04/07 | 2020/09/23 24.00  |
| 25764    | SG Issuer - Xiaomi European Warrants Nov 2020 A              | 60,000,000   | 2020/04/07 | 2020/11/30 15.00  |
| 25755    | UBS AG - HSI European Warrants Oct 2020 B                    | 300,000,000  | 2020/04/07 | 2020/10/29 45.00  |



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|----------|---------------------------------------------------------------|--------------|------------|-------------------|
| 25794    | Bank Vontobel - CC Bank European Warrants Dec 2020 B          | 40,000,000   | 2020/04/07 | 2020/12/18 10.00  |
| 25773    | Bank Vontobel - Country Garden European Warrants Nov 2020 A   | 40,000,000   | 2020/04/07 | 2020/11/05 10.00  |
| 25789    | Bank Vontobel - Sinopec Corp European Warrants Oct 2020 A     | 40,000,000   | 2020/04/07 | 2020/10/23 10.00  |
| 25791    | Bank Vontobel - Sinopec Corp European Warrants Jan 2021 A     | 40,000,000   | 2020/04/07 | 2021/01/22 10.00  |
| 25781    | Bank Vontobel - Galaxy Ent European Warrants Oct 2020 A       | 40,000,000   | 2020/04/07 | 2020/10/23 12.80  |
| 25786    | Bank Vontobel - Galaxy Ent European Warrants Dec 2020 A       | 40,000,000   | 2020/04/07 | 2020/12/18 10.00  |
| 25797    | Bank Vontobel - Hang Seng Bank European Warrants Oct 2020 A   | 60,000,000   | 2020/04/07 | 2020/10/30 10.20  |
| 25770    | Bank Vontobel - Jiangxi Copper European Warrants Mar 2021 A   | 40,000,000   | 2020/04/07 | 2021/03/04 10.00  |
| 25796    | Bank Vontobel - MTR Corporation European Warrants Oct 2020 A  | 40,000,000   | 2020/04/07 | 2020/10/23 10.00  |
| 25766    | Bank Vontobel - Meituan European Warrants Sep 2020 A          | 80,000,000   | 2020/04/07 | 2020/09/03 12.00  |
| 25765    | Bank Vontobel - Meituan European Warrants Nov 2020 A          | 80,000,000   | 2020/04/07 | 2020/11/23 12.00  |
| 25780    | Bank Vontobel - NCI European Warrants Oct 2020 A              | 40,000,000   | 2020/04/07 | 2020/10/23 10.00  |
| 25779    | Bank Vontobel - New World Dev European Warrants Mar 2021 A    | 40,000,000   | 2020/04/07 | 2021/03/08 10.00  |
| 25801    | BOCI Asia Ltd. - HSBC European Warrants Dec 2020 A            | 70,000,000   | 2020/04/08 | 2020/12/30 27.30  |
| 25802    | BOCI Asia Ltd. - HSBC European Put Warrants Dec 2020 A        | 70,000,000   | 2020/04/08 | 2020/12/30 17.50  |
| 25834    | Credit Suisse AG - Alibaba European Warrants Sep 2020 G       | 200,000,000  | 2020/04/08 | 2020/09/02 30.00  |
| 25835    | Credit Suisse AG - Alibaba European Warrants Nov 2020 B       | 200,000,000  | 2020/04/08 | 2020/11/23 30.00  |
| 25826    | Credit Suisse AG - GAC European Warrants Oct 2020 A           | 60,000,000   | 2020/04/08 | 2020/10/07 15.00  |
| 25833    | Credit Suisse AG - Galaxy Ent European Warrants Oct 2020 B    | 40,000,000   | 2020/04/08 | 2020/10/07 18.00  |
| 25827    | Credit Suisse AG - HSBC European Wts Oct 2020 A               | 100,000,000  | 2020/04/08 | 2020/10/07 32.00  |
| 25828    | Credit Suisse AG - HSBC European Put Warrants Oct 2020 B      | 80,000,000   | 2020/04/08 | 2020/10/30 20.00  |
| 25829    | Credit Suisse AG - Hang Seng Bank European Warrants Oct20 A   | 70,000,000   | 2020/04/08 | 2020/10/30 10.50  |
| 25830    | Credit Suisse AG - SHK Ppt European Warrants Dec 2020 B       | 80,000,000   | 2020/04/08 | 2020/12/23 12.00  |
| 25831    | Credit Suisse AG - Swire Pacific A European Warrants Oct20 A  | 30,000,000   | 2020/04/08 | 2020/10/07 10.20  |
| 25843    | Citigroup Global - CCB European Warrants Jul 2020 B           | 100,000,000  | 2020/04/08 | 2020/07/29 21.50  |
| 25844    | Citigroup Global - Tencent European Warrants Sep 2020 A       | 100,000,000  | 2020/04/08 | 2020/09/18 21.10  |
| 25878    | Goldman Sachs SP (Asia) - CSPC Pharma Euro Wts Sep 2020 A     | 70,000,000   | 2020/04/08 | 2020/09/16 10.50  |
| 25868    | Goldman Sachs SP (Asia) - HKEX European Warrants Sep 2020 C   | 150,000,000  | 2020/04/08 | 2020/09/23 24.75  |
| 25876    | Goldman Sachs SP (Asia) - HSBC European Warrants Oct 2020 A   | 80,000,000   | 2020/04/08 | 2020/10/08 20.00  |
| 25798    | Macquarie Bank Ltd. - Tencent European Warrants Oct 2020 G    | 30,000,000   | 2020/04/08 | 2020/10/27 13.17  |
| 25799    | Macquarie Bank Ltd. - Tencent European Put Wts Oct 2020 C     | 31,000,000   | 2020/04/08 | 2020/10/27 10.04  |
| 25818    | Morgan Stanley Asia Products Ltd. - AAC Tech Euro Wts Oct21A  | 80,000,000   | 2020/04/08 | 2021/10/04 12.64  |
| 25810    | Morgan Stanley Asia Products Ltd. - AIA European Wts Oct20A   | 68,000,000   | 2020/04/08 | 2020/10/05 14.28  |
| 25805    | Morgan Stanley Asia Products Ltd. - CCB Euro Wts Jul 2020 B   | 68,000,000   | 2020/04/08 | 2020/07/29 18.09  |
| 25809    | Morgan Stanley Asia Products Ltd. - China Tower Eu Wt Oct20A  | 68,000,000   | 2020/04/08 | 2020/10/23 10.20  |
| 25807    | Morgan Stanley Asia Products Ltd. - Ch Tower Eu Put Wt Dec20A | 68,000,000   | 2020/04/08 | 2020/12/23 10.74  |
| 25814    | Morgan Stanley Asia Products Ltd. - Ping An Euro Wts Sep20 A  | 40,000,000   | 2020/04/08 | 2020/09/28 11.52  |
| 25819    | Morgan Stanley Asia Products Ltd. - Xiaomi Euro Wts Dec20 C   | 68,000,000   | 2020/04/08 | 2020/12/23 10.20  |
| 25804    | Morgan Stanley Asia Products Ltd. - Xiaomi Eu Put Wts Dec20A  | 68,000,000   | 2020/04/08 | 2020/12/14 17.00  |
| 25848    | SG Issuer - HSBC European Warrants Oct 2020 C                 | 60,000,000   | 2020/04/08 | 2020/10/30 26.10  |
| 25850    | SG Issuer - HSBC European Warrants Dec 2020 A                 | 60,000,000   | 2020/04/08 | 2020/12/31 20.70  |
| 25845    | SG Issuer - Hang Seng Bank European Warrants Dec 2020 A       | 60,000,000   | 2020/04/08 | 2020/12/31 15.00  |
| 25823    | UBS AG - Alibaba European Warrants Sep 2020 C                 | 200,000,000  | 2020/04/08 | 2020/09/24 30.00  |
| 25824    | UBS AG - Meituan European Warrants Sep 2020 B                 | 100,000,000  | 2020/04/08 | 2020/09/03 15.00  |



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|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 25820    | UBS AG - Tencent European Warrants Sep 2020 C                | 300,000,000  | 2020/04/08 | 2020/09/11 | 45.00 |
| 25821    | UBS AG - Tencent European Put Warrants Aug 2020 A            | 300,000,000  | 2020/04/08 | 2020/08/19 | 51.60 |
| 25842    | Bank Vontobel - CITIC Sec European Warrants Sep 2020 A       | 40,000,000   | 2020/04/08 | 2020/09/30 | 10.80 |
| 25841    | Bank Vontobel - CLP Holdings European Warrants Oct 2020 A    | 40,000,000   | 2020/04/08 | 2020/10/07 | 10.00 |
| 25836    | Bank Vontobel - China Unicom European Warrants Oct 2020 A    | 40,000,000   | 2020/04/08 | 2020/10/07 | 10.00 |
| 25838    | Bank Vontobel - Evergrande European Warrants Jan 2021 A      | 40,000,000   | 2020/04/08 | 2021/01/04 | 10.00 |
| 25839    | Bank Vontobel - HSBC European Warrants Oct 2020 B            | 40,000,000   | 2020/04/08 | 2020/10/07 | 10.00 |
| 25840    | Bank Vontobel - HSBC European Put Warrants Nov 2020 B        | 40,000,000   | 2020/04/08 | 2020/11/03 | 10.00 |
| 25910    | Credit Suisse AG - BOC HK European Put Warrants Oct 2020 A   | 60,000,000   | 2020/04/09 | 2020/10/08 | 15.00 |
| 25912    | Credit Suisse AG - China EB Int'l European Wts Apr 2021 A    | 50,000,000   | 2020/04/09 | 2021/04/30 | 12.50 |
| 25931    | Credit Suisse AG - Greatwall Motor European Wts Apr 2021 A   | 80,000,000   | 2020/04/09 | 2021/04/30 | 20.00 |
| 25924    | Credit Suisse AG - HSBC European Wts Sep 2020 D              | 100,000,000  | 2020/04/09 | 2020/09/14 | 15.00 |
| 25908    | Credit Suisse AG - Hang Seng Bank European Put Wts Nov2020 A | 40,000,000   | 2020/04/09 | 2020/11/30 | 10.00 |
| 25928    | Credit Suisse AG - MTRC European Warrants Oct 2020 A         | 50,000,000   | 2020/04/09 | 2020/10/08 | 12.50 |
| 25933    | Credit Suisse AG - Tencent Euro Put Wts Sep 2020 A           | 200,000,000  | 2020/04/09 | 2020/09/14 | 37.00 |
| 25954    | Goldman Sachs SP (Asia) - Alibaba Euro Put Wts Sep 2020 A    | 80,000,000   | 2020/04/09 | 2020/09/23 | 12.00 |
| 25960    | Goldman Sachs SP (Asia) - HSBC European Put Wts Oct 2020 A   | 80,000,000   | 2020/04/09 | 2020/10/09 | 20.00 |
| 25956    | Goldman Sachs SP (Asia) - Tencent European Wts Aug 2020 F    | 150,000,000  | 2020/04/09 | 2020/08/27 | 22.50 |
| 25942    | Haitong Int'l Sec - CNOOC European Warrants Dec 2020 A       | 60,000,000   | 2020/04/09 | 2020/12/24 | 12.00 |
| 25945    | Haitong Int'l Sec - HSBC European Warrants Oct 2020 A        | 60,000,000   | 2020/04/09 | 2020/10/12 | 15.60 |
| 25952    | Haitong Int'l Sec - HSBC European Put Warrants Oct 2020 A    | 60,000,000   | 2020/04/09 | 2020/10/12 | 17.40 |
| 25941    | Haitong Int'l Sec - PetroChina European Warrants Oct 2020 A  | 40,000,000   | 2020/04/09 | 2020/10/09 | 11.20 |
| 25951    | Haitong Int'l Sec - Ping An European Put Warrants Oct 2020 A | 40,000,000   | 2020/04/09 | 2020/10/09 | 14.40 |
| 25911    | J P Morgan SP BV - HSBC European Warrants Oct 2020 D         | 100,000,000  | 2020/04/09 | 2020/10/30 | 25.80 |
| 25922    | J P Morgan SP BV - HSBC European Warrants Oct 2020 E         | 100,000,000  | 2020/04/09 | 2020/10/30 | 25.50 |
| 25909    | J P Morgan SP BV - HSBC European Warrants Dec 2022 A         | 300,000,000  | 2020/04/09 | 2022/12/30 | 75.30 |
| 25913    | J P Morgan SP BV - HSBC European Put Warrants Oct 2020 B     | 100,000,000  | 2020/04/09 | 2020/10/30 | 25.10 |
| 25915    | J P Morgan SP BV - KB Laminates European Warrants Nov 2020 A | 50,000,000   | 2020/04/09 | 2020/11/30 | 12.55 |
| 25916    | J P Morgan SP BV - Meituan European Warrants Dec 2020 B      | 100,000,000  | 2020/04/09 | 2020/12/23 | 15.00 |
| 25917    | J P Morgan SP BV - Ping An European Put Warrants Dec 2020 A  | 200,000,000  | 2020/04/09 | 2020/12/23 | 30.00 |
| 25926    | J P Morgan SP BV - Xiaomi European Warrants Jul 2020 F       | 100,000,000  | 2020/04/09 | 2020/07/31 | 15.00 |
| 25888    | Macquarie Bank Ltd. - CSPC Pharma European Wts Mar 2021 B    | 38,000,000   | 2020/04/09 | 2021/03/02 | 10.03 |
| 25893    | Macquarie Bank Ltd. - Meituan European Warrants Nov 2020 A   | 40,000,000   | 2020/04/09 | 2020/11/03 | 10.08 |
| 25894    | Macquarie Bank Ltd. - Meituan European Warrants Jul 2021 A   | 30,000,000   | 2020/04/09 | 2021/07/05 | 11.16 |
| 25884    | Macquarie Bank Ltd. - Tencent European Warrants Apr 2021 A   | 30,000,000   | 2020/04/09 | 2021/04/01 | 10.05 |
| 25885    | Macquarie Bank Ltd. - Xiaomi European Warrants Nov 2020 B    | 40,000,000   | 2020/04/09 | 2020/11/03 | 10.00 |
| 25890    | Macquarie Bank Ltd. - Xiaomi European Warrants Feb 2021 A    | 40,000,000   | 2020/04/09 | 2021/02/02 | 10.20 |
| 25907    | Morgan Stanley Asia Products Ltd. - Ping An Euro Wts Feb21 C | 68,000,000   | 2020/04/09 | 2021/02/19 | 12.72 |
| 25934    | SG Issuer - HSBC European Warrants Oct 2020 D                | 80,000,000   | 2020/04/09 | 2020/10/08 | 26.00 |
| 25935    | SG Issuer - HSBC European Put Warrants Oct 2020 A            | 60,000,000   | 2020/04/09 | 2020/10/08 | 15.00 |
| 25937    | SG Issuer - HSBC European Put Warrants Nov 2020 A            | 60,000,000   | 2020/04/09 | 2020/11/30 | 15.00 |
| 25901    | UBS AG - Galaxy Ent European Warrants Oct 2020 B             | 60,000,000   | 2020/04/09 | 2020/10/08 | 15.00 |
| 25883    | UBS AG - HSBC European Warrants Oct 2020 A                   | 100,000,000  | 2020/04/09 | 2020/10/08 | 25.00 |
| 25895    | UBS AG - HSBC European Put Warrants Oct 2020 B               | 100,000,000  | 2020/04/09 | 2020/10/19 | 25.00 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 25902    | UBS AG - Hang Seng Bank European Warrants Oct 2020 A         | 60,000,000   | 2020/04/09 | 2020/10/22 10.02  |
| 25906    | Bank Vontobel - China Mobile European Put Warrants Oct2020 B | 30,000,000   | 2020/04/09 | 2020/10/28 10.20  |
| 25903    | Bank Vontobel - Sunny Optical European Warrants Nov 2020 A   | 70,000,000   | 2020/04/09 | 2020/11/23 10.50  |
| 24444#   | J P Morgan SP BV - HSBC European Warrants Sep 2020 E         | 100,000,000  | 2020/04/09 | 2020/09/21 10.70  |
| 25967    | BOCI Asia Ltd. - CSPC Pharma European Warrants Sep 2020 A    | 80,000,000   | 2020/04/14 | 2020/09/23 16.80  |
| 25965    | BOCI Asia Ltd. - China Tower European Warrants Oct 2020 A    | 80,000,000   | 2020/04/14 | 2020/10/30 12.80  |
| 25994    | Credit Suisse AG - Bud Apac European Warrants Nov 2020 A     | 50,000,000   | 2020/04/14 | 2020/11/30 12.50  |
| 25995    | Credit Suisse AG - China Res Beer European Warrants Oct20 A  | 30,000,000   | 2020/04/14 | 2020/10/13 10.20  |
| 25997    | Credit Suisse AG - CSPC Pharma European Put Warrants Oct20 A | 60,000,000   | 2020/04/14 | 2020/10/30 15.00  |
| 25992    | Credit Suisse AG - HSBC European Wts Oct 2022 A              | 300,000,000  | 2020/04/14 | 2022/10/31 75.00  |
| 25993    | Credit Suisse AG - PICC European Warrants May 2021 A         | 60,000,000   | 2020/04/14 | 2021/05/31 15.00  |
| 25996    | Credit Suisse AG - Ping An European Warrants Sep 2020 C      | 150,000,000  | 2020/04/14 | 2020/09/22 22.50  |
| 26014    | Citigroup Global - ICBC European Warrants Aug 2020 A         | 100,000,000  | 2020/04/14 | 2020/08/24 15.00  |
| 26013    | Citigroup Global - Ping An European Warrants Feb 2021 A      | 100,000,000  | 2020/04/14 | 2021/02/19 15.00  |
| 26007    | Goldman Sachs SP (Asia) - China Overseas European Wts Oct20A | 60,000,000   | 2020/04/14 | 2020/10/30 15.00  |
| 26003    | Goldman Sachs SP (Asia) - HSBC European Warrants Oct 2020 B  | 80,000,000   | 2020/04/14 | 2020/10/14 20.00  |
| 26012    | Goldman Sachs SP (Asia) - ICBC European Warrants Aug 2020 A  | 80,000,000   | 2020/04/14 | 2020/08/24 12.00  |
| 25981    | J P Morgan SP BV - Stanchart European Warrants Oct 2020 A    | 40,000,000   | 2020/04/14 | 2020/10/13 15.56  |
| 25964    | Macquarie Bank Ltd. - AAC Tech European Wts Jan 2021 A       | 19,300,000   | 2020/04/14 | 2021/01/05 10.02  |
| 25962    | Morgan Stanley Asia Products Ltd. - Ch Mob Eu Put Wt Oct20A  | 100,000,000  | 2020/04/14 | 2020/10/14 25.00  |
| 26024    | SG Issuer - Conch Cement European Warrants Oct 2020 A        | 20,000,000   | 2020/04/14 | 2020/10/30 10.40  |
| 25988    | UBS AG - HSBC European Warrants Oct 2020 B                   | 100,000,000  | 2020/04/14 | 2020/10/14 25.00  |
| 25990    | UBS AG - HSBC European Warrants Oct 2020 C                   | 100,000,000  | 2020/04/14 | 2020/10/21 25.00  |
| 25986    | UBS AG - HSBC European Put Warrants Oct 2020 C               | 100,000,000  | 2020/04/14 | 2020/10/21 25.00  |
| 25983    | UBS AG - HSI European Put Warrants Sep 2020 H                | 300,000,000  | 2020/04/14 | 2020/09/29 45.00  |
| 25984    | UBS AG - HSI European Put Warrants Oct 2020 B                | 300,000,000  | 2020/04/14 | 2020/10/29 45.00  |
| 26019    | Bank Vontobel - BOC HK European Warrants Dec 2020 A          | 80,000,000   | 2020/04/14 | 2020/12/23 12.00  |
| 26015    | Bank Vontobel - Bud Apac European Warrants Oct 2020 A        | 70,000,000   | 2020/04/14 | 2020/10/23 10.50  |
| 26018    | Bank Vontobel - CNOOC European Warrants Dec 2020 B           | 40,000,000   | 2020/04/14 | 2020/12/04 10.00  |
| 26020    | Bank Vontobel - HSBC European Warrants Nov 2020 A            | 30,000,000   | 2020/04/14 | 2020/11/26 10.80  |
| 26017    | Bank Vontobel - Swire Pacific A European Warrants Dec 2020 A | 30,000,000   | 2020/04/14 | 2020/12/28 10.20  |
| 26046    | BOCI Asia Ltd. - Ping An European Warrants Sep 2020 B        | 70,000,000   | 2020/04/15 | 2020/09/25 10.50  |
| 26049    | Credit Suisse AG - Bank of China European Wts Jan 2021 A     | 70,000,000   | 2020/04/15 | 2021/01/26 10.50  |
| 26050    | Credit Suisse AG - HKEX European Put Warrants Sep 2020 A     | 100,000,000  | 2020/04/15 | 2020/09/23 15.00  |
| 26059    | Citigroup Global - Alibaba Group Euro Warrants Oct 2020 B    | 100,000,000  | 2020/04/15 | 2020/10/30 25.00  |
| 26060    | Citigroup Global - Alibaba Group Euro Warrants Mar 2021 A    | 100,000,000  | 2020/04/15 | 2021/03/24 15.00  |
| 26061    | Citigroup Global - China Mobile European Warrants Jul 2020 B | 100,000,000  | 2020/04/15 | 2020/07/27 15.00  |
| 26058    | Citigroup Global - Meituan European Warrants Oct 2020 B      | 100,000,000  | 2020/04/15 | 2020/10/23 25.00  |
| 26056    | Citigroup Global - Meituan European Put Warrants Sep 2020 A  | 100,000,000  | 2020/04/15 | 2020/09/25 17.00  |
| 26031    | Guotai Junan - China Mobile European Put Warrants Nov 2020 A | 100,000,000  | 2020/04/15 | 2020/11/06 26.10  |
| 26025    | Guotai Junan - HSBC European Warrants Dec 2020 A             | 100,000,000  | 2020/04/15 | 2020/12/28 25.00  |
| 26027    | Guotai Junan - HSBC European Put Warrants Dec 2020 A         | 100,000,000  | 2020/04/15 | 2020/12/28 25.00  |
| 26063    | Goldman Sachs SP (Asia) - Alibaba European Wts Sep 2020 E    | 150,000,000  | 2020/04/15 | 2020/09/02 22.50  |
| 26064    | Goldman Sachs SP (Asia) - CNOOC European Warrants Oct 2020 A | 80,000,000   | 2020/04/15 | 2020/10/05 12.00  |

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|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 26062    | Goldman Sachs SP (Asia) - HSI European Put Wts Sep 2020 D    | 150,000,000  | 2020/04/15 | 2020/09/29 | 22.50 |
| 26051    | J P Morgan SP BV - Alibaba European Warrants Oct 2020 A      | 200,000,000  | 2020/04/15 | 2020/10/30 | 30.00 |
| 26055    | J P Morgan SP BV - Baiyunshan Ph European Wts Sep 2020 A     | 70,000,000   | 2020/04/15 | 2020/09/11 | 10.78 |
| 26052    | J P Morgan SP BV - Tencent European Put Warrants Sep 2020 B  | 250,000,000  | 2020/04/15 | 2020/09/14 | 37.50 |
| 26040    | Macquarie Bank Ltd. - Alibaba European Warrants Apr 2021 A   | 39,500,000   | 2020/04/15 | 2021/04/07 | 10.23 |
| 26041    | Macquarie Bank Ltd. - Dongfeng Motor European Wts Nov 2020 A | 21,000,000   | 2020/04/15 | 2020/11/03 | 10.04 |
| 26045    | Macquarie Bank Ltd. - ICBC European Warrants Apr 2021 A      | 40,000,000   | 2020/04/15 | 2021/04/07 | 10.36 |
| 26047    | Morgan Stanley Asia Products Ltd. - Ch Mob Euro Wt Aug2020 A | 80,000,000   | 2020/04/15 | 2020/08/03 | 12.00 |
| 26037    | Morgan Stanley Asia Products Ltd. - Ch Mob Euro Wt Oct2020 B | 80,000,000   | 2020/04/15 | 2020/10/27 | 15.84 |
| 26048    | UBS AG - AAC Tech European Put Warrants Nov 2020 A           | 100,000,000  | 2020/04/15 | 2020/11/17 | 15.00 |
| 26065    | Bank Vontobel - China Tower European Warrants Oct 2020 A     | 70,000,000   | 2020/04/15 | 2020/10/23 | 10.50 |
| 26066    | BOCI Asia Ltd. - China Mobile European Warrants Sep 2020 C   | 70,000,000   | 2020/04/16 | 2020/09/28 | 10.50 |
| 26074    | BNP Paribas Issuance B.V. - HSI European Wts Oct 2020 B      | 70,000,000   | 2020/04/16 | 2020/10/29 | 11.20 |
| 26076    | BNP Paribas Issuance B.V. - HSI Euro Put Wts Oct 2020 A      | 80,000,000   | 2020/04/16 | 2020/10/29 | 16.00 |
| 26078    | Credit Suisse AG - AIA European Put Warrants Apr 2021 A      | 150,000,000  | 2020/04/16 | 2021/04/23 | 22.50 |
| 26080    | Credit Suisse AG - Baiyunshan Ph European Warrants Oct2020 A | 40,000,000   | 2020/04/16 | 2020/10/15 | 10.00 |
| 26081    | Credit Suisse AG - Luye Pharma European Warrants Aug 2021 A  | 50,000,000   | 2020/04/16 | 2021/08/10 | 10.00 |
| 26091    | Goldman Sachs SP (Asia) - China Life Euro Wts Sep 2020 E     | 80,000,000   | 2020/04/16 | 2020/09/23 | 12.00 |
| 26087    | Goldman Sachs SP (Asia) - China Unicom Euro Wts Jun 2021 A   | 80,000,000   | 2020/04/16 | 2021/06/23 | 12.00 |
| 26088    | Goldman Sachs SP (Asia) - Xiaomi European Wts Aug 2020 C     | 80,000,000   | 2020/04/16 | 2020/08/26 | 12.00 |
| 26068    | HK Bank - CNOOC European Warrants Dec 2020 C                 | 100,000,000  | 2020/04/16 | 2020/12/22 | 16.00 |
| 26067    | HK Bank - Tencent European Put Warrants Aug 2020 A           | 100,000,000  | 2020/04/16 | 2020/08/31 | 24.00 |
| 26077    | J P Morgan SP BV - AIA European Put Warrants Oct 2020 A      | 200,000,000  | 2020/04/16 | 2020/10/05 | 30.00 |
| 26082    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Dec20 A | 108,000,000  | 2020/04/16 | 2020/12/23 | 16.20 |
| 26071    | UBS AG - Alibaba European Warrants Oct 2020 A                | 200,000,000  | 2020/04/16 | 2020/10/22 | 30.00 |
| 26072    | UBS AG - Meituan European Warrants Dec 2020 A                | 200,000,000  | 2020/04/16 | 2020/12/23 | 30.00 |
| 26070    | UBS AG - Sunny Optical European Put Warrants Dec 2020 A      | 100,000,000  | 2020/04/16 | 2020/12/23 | 15.00 |
| 26084    | Bank Vontobel - Conch Cement European Warrants Dec 2020 A    | 30,000,000   | 2020/04/16 | 2020/12/01 | 12.60 |
| 26083    | Bank Vontobel - China Unicom European Warrants Nov 2020 B    | 30,000,000   | 2020/04/16 | 2020/11/02 | 10.20 |
| 26085    | Bank Vontobel - Lenovo European Warrants Nov 2020 A          | 30,000,000   | 2020/04/16 | 2020/11/02 | 10.20 |
| 26110    | Credit Suisse AG - AIA European Put Warrants Sep 2020 C      | 150,000,000  | 2020/04/17 | 2020/09/29 | 22.50 |
| 26115    | Credit Suisse AG - Brilliance Chi European Wts Oct 2020 A    | 50,000,000   | 2020/04/17 | 2020/10/16 | 12.50 |
| 26112    | Credit Suisse AG - Xinyi Solar European Warrants Nov 2020 A  | 70,000,000   | 2020/04/17 | 2020/11/23 | 10.50 |
| 26099    | Citigroup Global - Alibaba European Put Warrants Jul 2020 A  | 100,000,000  | 2020/04/17 | 2020/07/20 | 18.20 |
| 26107    | Citigroup Global - CNOOC European Warrants Sep 2020 A        | 100,000,000  | 2020/04/17 | 2020/09/23 | 16.80 |
| 26108    | Citigroup Global - CNOOC European Warrants Oct 2020 A        | 100,000,000  | 2020/04/17 | 2020/10/05 | 15.50 |
| 26098    | Citigroup Global - ICBC European Warrants Oct 2020 A         | 100,000,000  | 2020/04/17 | 2020/10/23 | 15.00 |
| 26136    | Goldman Sachs SP (Asia) - HKEX European Warrants Sep 2020 D  | 150,000,000  | 2020/04/17 | 2020/09/22 | 22.50 |
| 26141    | Goldman Sachs SP (Asia) - Xiaomi European Wts Aug 2020 D     | 80,000,000   | 2020/04/17 | 2020/08/26 | 12.00 |
| 26123    | Macquarie Bank Ltd. - HSBC European Warrants Nov 2020 B      | 35,000,000   | 2020/04/17 | 2020/11/03 | 10.19 |
| 26126    | Macquarie Bank Ltd. - HSBC European Put Warrants Dec 2020 A  | 30,000,000   | 2020/04/17 | 2020/12/31 | 10.02 |
| 26092    | UBS AG - PA Gooddoctor European Warrants Aug 2020 A          | 80,000,000   | 2020/04/17 | 2020/08/18 | 12.00 |
| 26135    | Bank Vontobel - Sands China Ltd European Put Warrants Sep20A | 40,000,000   | 2020/04/17 | 2020/09/23 | 12.40 |
| 26127    | Bank Vontobel - Tencent European Warrants Sep 2020 A         | 80,000,000   | 2020/04/17 | 2020/09/18 | 12.00 |

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|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 26130    | Bank Vontobel - Tencent European Put Warrants Sep 2020 B     | 80,000,000   | 2020/04/17 | 2020/09/24 17.60  |
| 26159    | Credit Suisse AG - Ping An European Warrants Sep 2020 D      | 150,000,000  | 2020/04/20 | 2020/09/25 30.00  |
| 26158    | Credit Suisse AG - Sunart Retail European Warrants Oct2020 A | 40,000,000   | 2020/04/20 | 2020/10/19 10.00  |
| 26233    | Goldman Sachs SP (Asia) - Alibaba European Wts Oct 2020 B    | 150,000,000  | 2020/04/20 | 2020/10/16 22.50  |
| 26235    | Goldman Sachs SP (Asia) - Bud Apac European Warrants Oct20 B | 80,000,000   | 2020/04/20 | 2020/10/22 12.00  |
| 26228    | Goldman Sachs SP (Asia) - Geely Auto European Wts Dec 2020 A | 80,000,000   | 2020/04/20 | 2020/12/08 12.00  |
| 26220    | Goldman Sachs SP (Asia) - Tencent European Wts Sep 2020 C    | 150,000,000  | 2020/04/20 | 2020/09/18 22.50  |
| 26142    | HK Bank - CNOOC European Put Warrants Nov 2020 A             | 100,000,000  | 2020/04/20 | 2020/11/16 15.00  |
| 26148    | HK Bank - Ping An European Warrants Jun 2021 A               | 200,000,000  | 2020/04/20 | 2021/06/23 30.00  |
| 26143    | HK Bank - SMIC European Warrants Nov 2020 A                  | 100,000,000  | 2020/04/20 | 2020/11/30 25.00  |
| 26182    | J P Morgan SP BV - AAC Tech European Put Warrants Oct 2020 A | 50,000,000   | 2020/04/20 | 2020/10/30 19.35  |
| 26184    | J P Morgan SP BV - Sunart Retail European Warrants Nov2020 A | 40,000,000   | 2020/04/20 | 2020/11/30 10.00  |
| 26156    | Macquarie Bank Ltd. - Beijing Air European Wts Jul 2021 A    | 40,000,000   | 2020/04/20 | 2021/07/16 10.00  |
| 26151    | Macquarie Bank Ltd. - Tencent European Warrants Jun 2021 A   | 38,000,000   | 2020/04/20 | 2021/06/01 10.03  |
| 26154    | Macquarie Bank Ltd. - Tencent European Warrants Sep 2021 B   | 40,000,000   | 2020/04/20 | 2021/09/01 12.80  |
| 26153    | Macquarie Bank Ltd. - Tencent European Warrants Dec 2021 B   | 40,000,000   | 2020/04/20 | 2021/12/01 15.00  |
| 26178    | Morgan Stanley Asia Products Ltd. - Alibaba Euro Wts Oct20 A | 98,000,000   | 2020/04/20 | 2020/10/16 14.70  |
| 26176    | Morgan Stanley Asia Products Ltd. - HSBC European Wts Sep20A | 68,000,000   | 2020/04/20 | 2020/09/22 11.22  |
| 26175    | Morgan Stanley Asia Products Ltd. - HSBC European Wts Dec20A | 68,000,000   | 2020/04/20 | 2020/12/23 14.35  |
| 26171    | Morgan Stanley Asia Products Ltd. - HSBC Euro Put Wts Nov20A | 68,000,000   | 2020/04/20 | 2020/11/27 10.20  |
| 26174    | Morgan Stanley Asia Products Ltd. - HSBC Euro Put Wts Jun21A | 80,000,000   | 2020/04/20 | 2021/06/29 14.24  |
| 26169    | SG Issuer - Galaxy Ent European Warrants Oct 2020 A          | 40,000,000   | 2020/04/20 | 2020/10/30 13.80  |
| 26166    | SG Issuer - Galaxy Ent European Put Warrants Sep 2020 B      | 40,000,000   | 2020/04/20 | 2020/09/30 17.00  |
| 26193    | Bank Vontobel - CM Bank European Warrants Oct 2020 A         | 30,000,000   | 2020/04/20 | 2020/10/28 10.20  |
| 26212    | Bank Vontobel - CSOP A50 ETF European Warrants Feb 2021 A    | 40,000,000   | 2020/04/20 | 2021/02/02 10.00  |
| 26213    | Bank Vontobel - CSOP A50 ETF European Warrants Apr 2021 A    | 80,000,000   | 2020/04/20 | 2021/04/08 12.80  |
| 26216    | Bank Vontobel - CSOP A50 ETF European Put Warrants Nov20 A   | 40,000,000   | 2020/04/20 | 2020/11/03 12.80  |
| 26185    | Bank Vontobel - Kunlun Energy European Warrants Dec 2020 A   | 20,000,000   | 2020/04/20 | 2020/12/28 11.60  |
| 26243    | BNP Paribas Issuance B.V. - Alibaba European Wts Oct 2020 E  | 60,000,000   | 2020/04/21 | 2020/10/06 10.80  |
| 26252    | BNP Paribas Issuance B.V. - HKEX European Wts Nov 2020 A     | 50,000,000   | 2020/04/21 | 2020/11/03 10.00  |
| 26251    | BNP Paribas Issuance B.V. - HKEX European Wts Jan 2021 A     | 80,000,000   | 2020/04/21 | 2021/01/05 12.00  |
| 26245    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Jan 2021 B | 150,000,000  | 2020/04/21 | 2021/01/05 22.50  |
| 26255    | BNP Paribas Issuance B.V. - PA Gooddoctor European Wt Nov20A | 80,000,000   | 2020/04/21 | 2020/11/03 21.60  |
| 26259    | BNP Paribas Issuance B.V. - PA Gooddoctor European Wt Feb21A | 80,000,000   | 2020/04/21 | 2021/02/02 21.60  |
| 26236    | BNP Paribas Issuance B.V. - Ping An European Wt Oct 2020 D   | 40,000,000   | 2020/04/21 | 2020/10/06 15.60  |
| 26238    | BNP Paribas Issuance B.V. - Ping An European Wt Nov 2020 B   | 40,000,000   | 2020/04/21 | 2020/11/03 11.60  |
| 26277    | Credit Suisse AG - AAC Tech European Warrants May 2021 A     | 100,000,000  | 2020/04/21 | 2021/05/26 19.00  |
| 26280    | Credit Suisse AG - Air China European Warrants Mar 2021 A    | 60,000,000   | 2020/04/21 | 2021/03/24 10.20  |
| 26285    | Credit Suisse AG - Alibaba European Warrants Oct 2020 C      | 200,000,000  | 2020/04/21 | 2020/10/20 30.00  |
| 26278    | Credit Suisse AG - Fosun Pharma European Warrants Oct 2020 A | 40,000,000   | 2020/04/21 | 2020/10/20 10.00  |
| 26276    | Citigroup Global - Sands China European Warrants Oct 2020 A  | 100,000,000  | 2020/04/21 | 2020/10/30 30.50  |
| 26298    | Goldman Sachs SP (Asia) - Alibaba European Wts Oct 2020 C    | 150,000,000  | 2020/04/21 | 2020/10/22 22.50  |
| 26294    | Goldman Sachs SP (Asia) - Galaxy Ent European Wts Jul 2020 A | 80,000,000   | 2020/04/21 | 2020/07/28 12.00  |
| 26287    | Goldman Sachs SP (Asia) - Sunny Optical Euro Wts Sep 2020 A  | 80,000,000   | 2020/04/21 | 2020/09/22 12.00  |

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|----------|---------------------------------------------------------------|--------------|------------|------------|-------|
| 26254    | HK Bank - SPDR Gold Trust European Warrants Dec 2020 B        | 100,000,000  | 2020/04/21 | 2020/12/28 | 25.00 |
| 26262    | J P Morgan SP BV - Galaxy Ent European Warrants Oct 2020 B    | 60,000,000   | 2020/04/21 | 2020/10/30 | 17.82 |
| 26264    | J P Morgan SP BV - PA Gooddoctor European Warrants Oct 2020A  | 60,000,000   | 2020/04/21 | 2020/10/30 | 15.12 |
| 26271    | J P Morgan SP BV - Tencent European Warrants Jun 2021 A       | 250,000,000  | 2020/04/21 | 2021/06/30 | 63.25 |
| 26261    | Macquarie Bank Ltd. - Ping An European Warrants Sep 2020 D    | 60,000,000   | 2020/04/21 | 2020/09/11 | 10.20 |
| 26274    | Macquarie Bank Ltd. - Shenzhen Expressway Euro Wts Apr21A     | 39,500,000   | 2020/04/21 | 2021/04/16 | 10.03 |
| 26331    | BOCI Asia Ltd. - PA Gooddoctor European Warrants Oct 2020 A   | 80,000,000   | 2020/04/22 | 2020/10/30 | 20.00 |
| 26323    | BOCI Asia Ltd. - Sands China Ltd European Warrants Sep2020 A  | 70,000,000   | 2020/04/22 | 2020/09/24 | 10.50 |
| 26328    | BOCI Asia Ltd. - Tencent European Put Wts Sep 2020 D          | 200,000,000  | 2020/04/22 | 2020/09/30 | 30.00 |
| 26348    | BNP Paribas Issuance B.V. - Galaxy Ent Euro Wts Feb 2021 A    | 40,000,000   | 2020/04/22 | 2021/02/02 | 17.20 |
| 10133    | BNP Paribas Issuance B.V. - Gold European Wts Dec 2020 A      | 50,000,000   | 2020/04/22 | 2020/12/21 | 23.00 |
| 26349    | BNP Paribas Issuance B.V. - Tencent Eu Put Wt Oct 2020 A      | 80,000,000   | 2020/04/22 | 2020/10/06 | 12.00 |
| 26354    | Credit Suisse AG - AIA European Warrants Sep 2020 B           | 70,000,000   | 2020/04/22 | 2020/09/23 | 11.90 |
| 26355    | Credit Suisse AG - CICC European Warrants Nov 2020 A          | 60,000,000   | 2020/04/22 | 2020/11/30 | 15.00 |
| 26350    | Credit Suisse AG - PA Gooddoctor European Warrants Oct2020 A  | 50,000,000   | 2020/04/22 | 2020/10/21 | 12.50 |
| 26299    | Guotai Junan - Galaxy Ent European Warrants Sep 2020 A        | 100,000,000  | 2020/04/22 | 2020/09/07 | 20.80 |
| 26300    | Guotai Junan - Galaxy Ent European Put Warrants Oct 2020 A    | 100,000,000  | 2020/04/22 | 2020/10/08 | 20.10 |
| 26301    | Guotai Junan - Sands China Ltd European Warrants Oct 2020 A   | 100,000,000  | 2020/04/22 | 2020/10/09 | 18.70 |
| 26302    | Guotai Junan - Sands China Ltd European Put Warrants Oct20 A  | 100,000,000  | 2020/04/22 | 2020/10/09 | 23.10 |
| 26390    | Goldman Sachs SP (Asia) - Alibaba European Wts Aug 2020 A     | 100,000,000  | 2020/04/22 | 2020/08/26 | 15.00 |
| 26393    | Goldman Sachs SP (Asia) - Galaxy Ent European Wts Dec 2020 A  | 100,000,000  | 2020/04/22 | 2020/12/23 | 15.00 |
| 26387    | Goldman Sachs SP (Asia) - Ping An European Wts Sep 2020 A     | 100,000,000  | 2020/04/22 | 2020/09/16 | 15.00 |
| 26382    | Goldman Sachs SP (Asia) - Sands China Ltd Euro Wts Sep2020 A  | 80,000,000   | 2020/04/22 | 2020/09/17 | 12.00 |
| 26321    | HK Bank - A50 China European Warrants Jan 2021 A              | 100,000,000  | 2020/04/22 | 2021/01/05 | 25.00 |
| 26319    | HK Bank - Galaxy Ent European Put Warrants Dec 2020 A         | 100,000,000  | 2020/04/22 | 2020/12/03 | 17.00 |
| 26309    | HK Bank - HKEX European Warrants Nov 2020 B                   | 100,000,000  | 2020/04/22 | 2020/11/25 | 15.00 |
| 26372    | J P Morgan SP BV - CNOOC European Put Warrants Nov 2020 A     | 80,000,000   | 2020/04/22 | 2020/11/02 | 12.00 |
| 26366    | J P Morgan SP BV - Evergrande European Put Warrants Nov20 A   | 60,000,000   | 2020/04/22 | 2020/11/30 | 15.00 |
| 26359    | J P Morgan SP BV - Fosun Pharma European Warrants Nov 2020 A  | 50,000,000   | 2020/04/22 | 2020/11/30 | 13.65 |
| 26358    | J P Morgan SP BV - HEC Pharm European Warrants Sep 2021 A     | 80,000,000   | 2020/04/22 | 2021/09/30 | 20.00 |
| 26374    | J P Morgan SP BV - HKEX European Put Wts Nov 2020 B           | 200,000,000  | 2020/04/22 | 2020/11/30 | 31.00 |
| 26362    | J P Morgan SP BV - Hansoh Pharma European Warrants Oct2020 A  | 50,000,000   | 2020/04/22 | 2020/10/30 | 15.80 |
| 26377    | J P Morgan SP BV - SHK Ppt European Warrants Sep 2020 A       | 60,000,000   | 2020/04/22 | 2020/09/30 | 24.12 |
| 26365    | J P Morgan SP BV - Shimao Property European Wts Oct 2020 A    | 50,000,000   | 2020/04/22 | 2020/10/30 | 13.20 |
| 26370    | J P Morgan SP BV - SUNAC European Put Warrants Oct 2020 A     | 60,000,000   | 2020/04/22 | 2020/10/30 | 27.36 |
| 26303    | Macquarie Bank Ltd. - Tencent European Warrants Nov 2020 A    | 25,000,000   | 2020/04/22 | 2020/11/02 | 19.43 |
| 26304    | Macquarie Bank Ltd. - Tencent European Warrants Nov 2020 B    | 25,000,000   | 2020/04/22 | 2020/11/02 | 12.30 |
| 26306    | Macquarie Bank Ltd. - Tencent European Put Wts Nov 2020 A     | 25,000,000   | 2020/04/22 | 2020/11/02 | 17.95 |
| 26341    | Morgan Stanley Asia Products Ltd. - AAC Tech Eu Put Wt Oct20A | 68,000,000   | 2020/04/22 | 2020/10/05 | 10.20 |
| 26342    | Morgan Stanley Asia Products Ltd. - Sunny Eu Wt Nov 2020 B    | 80,000,000   | 2020/04/22 | 2020/11/23 | 12.00 |
| 26343    | Morgan Stanley Asia Products Ltd. - Xiaomi Euro Wts Sep20 B   | 68,000,000   | 2020/04/22 | 2020/09/01 | 10.20 |
| 26338    | UBS AG - BYD Company European Warrants Jul 2020 A             | 50,000,000   | 2020/04/22 | 2020/07/27 | 10.05 |
| 26337    | UBS AG - CSOP A50 ETF European Warrants Jan 2021 A            | 70,000,000   | 2020/04/22 | 2021/01/18 | 17.50 |
| 26339    | UBS AG - Galaxy Ent European Put Warrants Sep 2020 A          | 60,000,000   | 2020/04/22 | 2020/09/30 | 12.60 |



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| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 26346    | Bank Vontobel - AAC Tech European Warrants Sep 2021 A        | 60,000,000   | 2020/04/22 | 2021/09/28 10.20  |
| 26452    | Credit Suisse AG - BOC HK European Warrants Sep 2020 A       | 80,000,000   | 2020/04/23 | 2020/09/30 12.00  |
| 26450    | Credit Suisse AG - Evergrande European Warrants Dec 2020 A   | 60,000,000   | 2020/04/23 | 2020/12/31 15.00  |
| 26442    | Credit Suisse AG - HEC Pharm European Warrants Jun 2021 A    | 80,000,000   | 2020/04/23 | 2021/06/30 20.00  |
| 26444    | Credit Suisse AG - Microport European Warrants Oct 2020 A    | 30,000,000   | 2020/04/23 | 2020/10/22 10.20  |
| 26445    | Credit Suisse AG - SUNAC European Warrants Oct 2020 A        | 40,000,000   | 2020/04/23 | 2020/10/22 11.20  |
| 26454    | Credit Suisse AG - Tencent Euro Put Wts Sep 2020 B           | 200,000,000  | 2020/04/23 | 2020/09/23 30.00  |
| 26473    | Citigroup Global - Galaxy Ent European Put Warrants Jul20 A  | 100,000,000  | 2020/04/23 | 2020/07/29 20.90  |
| 26470    | Citigroup Global - Sunny Optical European Warrants Sep2020 A | 100,000,000  | 2020/04/23 | 2020/09/22 15.00  |
| 26463    | Citigroup Global - Sunny Optical European Warrants Nov2020 A | 100,000,000  | 2020/04/23 | 2020/11/23 15.00  |
| 26485    | Goldman Sachs SP (Asia) - Alibaba Euro Put Wts Sep 2020 B    | 100,000,000  | 2020/04/23 | 2020/09/08 15.00  |
| 26488    | Goldman Sachs SP (Asia) - China Tower Euro Wts Oct 2020 A    | 80,000,000   | 2020/04/23 | 2020/10/22 12.00  |
| 26483    | Goldman Sachs SP (Asia) - Lenovo European Wts Sep 2020 A     | 60,000,000   | 2020/04/23 | 2020/09/24 10.02  |
| 26484    | Goldman Sachs SP (Asia) - Tencent European Wts Sep 2020 D    | 150,000,000  | 2020/04/23 | 2020/09/11 31.65  |
| 26420    | HK Bank - Alibaba European Put Warrants Sep 2020 B           | 80,000,000   | 2020/04/23 | 2020/09/28 12.00  |
| 26439    | HK Bank - Ali Health European Warrants Oct 2020 A            | 80,000,000   | 2020/04/23 | 2020/10/30 20.00  |
| 26414    | HK Bank - Ping An European Warrants Feb 2021 B               | 180,000,000  | 2020/04/23 | 2021/02/19 27.00  |
| 26418    | HK Bank - Sunny Optical European Put Warrants Dec 2020 B     | 80,000,000   | 2020/04/23 | 2020/12/29 12.00  |
| 26478    | J P Morgan SP BV - A-Living European Warrants Oct 2020 A     | 60,000,000   | 2020/04/23 | 2020/10/30 27.72  |
| 26482    | J P Morgan SP BV - Ch Comm Cons European Warrants Sep 2020 A | 50,000,000   | 2020/04/23 | 2020/09/23 11.20  |
| 26477    | J P Morgan SP BV - Weigao Group European Warrants Oct 2020 A | 80,000,000   | 2020/04/23 | 2020/10/22 20.08  |
| 26480    | J P Morgan SP BV - SUNAC European Warrants Sep 2020 A        | 60,000,000   | 2020/04/23 | 2020/09/30 15.42  |
| 26479    | J P Morgan SP BV - Yihai Intl European Warrants Dec 2020 A   | 60,000,000   | 2020/04/23 | 2020/12/30 15.00  |
| 26406    | Macquarie Bank Ltd. - KB Laminates European Wts Mar 2021 A   | 38,000,000   | 2020/04/23 | 2021/03/16 10.03  |
| 26405    | Macquarie Bank Ltd. - NCI European Warrants Mar 2021 A       | 40,000,000   | 2020/04/23 | 2021/03/02 10.00  |
| 26404    | Macquarie Bank Ltd. - SUNAC European Warrants Nov 2020 A     | 27,000,000   | 2020/04/23 | 2020/11/03 10.15  |
| 26402    | Morgan Stanley Asia Products Ltd. - CITIC Sec Euro Wt Dec20A | 40,000,000   | 2020/04/23 | 2020/12/16 10.00  |
| 26403    | Morgan Stanley Asia Products Ltd. - CITIC Sec Euro Wt Dec20B | 68,000,000   | 2020/04/23 | 2020/12/28 10.20  |
| 26462    | Morgan Stanley Asia Products Ltd. - HSBC European Wts Oct20A | 68,000,000   | 2020/04/23 | 2020/10/14 13.19  |
| 26460    | Morgan Stanley Asia Products Ltd. - HSBC European Wts Oct22A | 128,000,000  | 2020/04/23 | 2022/10/24 19.20  |
| 26400    | Morgan Stanley Asia Products Ltd. - SUNAC Eu Wt Oct 2020 A   | 48,000,000   | 2020/04/23 | 2020/10/05 11.86  |
| 26399    | Morgan Stanley Asia Products Ltd. - Tencent Eu Put Wt Sep20B | 80,000,000   | 2020/04/23 | 2020/09/24 12.00  |
| 26459    | UBS AG - Ping An European Warrants Feb 2021 A                | 200,000,000  | 2020/04/23 | 2021/02/19 30.00  |
| 26455    | UBS AG - SUNAC European Warrants Oct 2020 A                  | 40,000,000   | 2020/04/23 | 2020/10/30 10.04  |
| 26492    | BOCI Asia Ltd. - Tencent European Put Wts Aug 2020 B         | 200,000,000  | 2020/04/24 | 2020/08/28 34.00  |
| 26578    | Credit Suisse AG - Alibaba European Put Warrants Sep 2020 C  | 100,000,000  | 2020/04/24 | 2020/09/18 15.00  |
| 26598    | Credit Suisse AG - CSPC Pharma European Warrants Dec 2020 A  | 60,000,000   | 2020/04/24 | 2020/12/22 10.02  |
| 26580    | Credit Suisse AG - HSI European Put Warrants Sep 2020 E      | 150,000,000  | 2020/04/24 | 2020/09/29 22.50  |
| 26584    | Credit Suisse AG - HSI European Put Warrants Sep 2020 F      | 150,000,000  | 2020/04/24 | 2020/09/29 25.50  |
| 26582    | Credit Suisse AG - HSI European Put Warrants Oct 2020 D      | 150,000,000  | 2020/04/24 | 2020/10/29 22.50  |
| 26579    | Credit Suisse AG - Ping An European Put Warrants Mar 2021 A  | 150,000,000  | 2020/04/24 | 2021/03/24 22.50  |
| 26603    | Credit Suisse AG - Sunny Optical European Put Wts Dec 2020 B | 100,000,000  | 2020/04/24 | 2020/12/28 15.00  |
| 26577    | Credit Suisse AG - Tencent Euro Put Wts Aug 2020 A           | 200,000,000  | 2020/04/24 | 2020/08/31 30.00  |
| 26576    | Credit Suisse AG - Tencent Euro Put Wts Sep 2020 C           | 200,000,000  | 2020/04/24 | 2020/09/24 30.00  |

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|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 26555    | Citigroup Global - Sunac European Warrants Sep 2020 A        | 100,000,000  | 2020/04/24 | 2020/09/23 | 24.90 |
| 26543    | Guotai Junan - Alibaba Group European Warrants Sep 2020 D    | 100,000,000  | 2020/04/24 | 2020/09/07 | 15.00 |
| 26535    | Guotai Junan - Alibaba Group European Warrants Oct 2020 D    | 100,000,000  | 2020/04/24 | 2020/10/09 | 15.00 |
| 26613    | Goldman Sachs SP (Asia) - AIA European Warrants Sep 2020 B   | 80,000,000   | 2020/04/24 | 2020/09/03 | 19.68 |
| 26611    | Goldman Sachs SP (Asia) - Ping An European Wts Sep 2020 B    | 100,000,000  | 2020/04/24 | 2020/09/25 | 21.30 |
| 26612    | Goldman Sachs SP (Asia) - Tencent European Wts Aug 2020 G    | 150,000,000  | 2020/04/24 | 2020/08/28 | 22.80 |
| 26499    | HK Bank - CG Services European Warrants Sep 2021 A           | 100,000,000  | 2020/04/24 | 2021/09/30 | 25.00 |
| 26498    | HK Bank - Galaxy Ent European Warrants Dec 2020 B            | 100,000,000  | 2020/04/24 | 2020/12/15 | 15.00 |
| 26490    | HK Bank - PA Good Doctor European Warrants Dec 2020 A        | 100,000,000  | 2020/04/24 | 2020/12/31 | 25.00 |
| 26575    | Haitong Int'l Sec - HSI European Warrants Oct 2020 A         | 200,000,000  | 2020/04/24 | 2020/10/29 | 30.00 |
| 26574    | Haitong Int'l Sec - HSI European Put Warrants Oct 2020 A     | 200,000,000  | 2020/04/24 | 2020/10/29 | 50.00 |
| 26570    | J P Morgan SP BV - Sunny Optical European Put Wts Oct 2020 B | 80,000,000   | 2020/04/24 | 2020/10/13 | 25.20 |
| 26569    | J P Morgan SP BV - Tencent European Put Warrants Oct 2020 B  | 250,000,000  | 2020/04/24 | 2020/10/30 | 62.50 |
| 26491    | Macquarie Bank Ltd. - Tencent European Warrants Nov 2020 C   | 27,000,000   | 2020/04/24 | 2020/11/02 | 10.02 |
| 26506    | SG Issuer - Alibaba European Put Warrants Sep 2020 D         | 100,000,000  | 2020/04/24 | 2020/09/08 | 15.00 |
| 26510    | SG Issuer - Ali Health European Warrants Oct 2020 A          | 40,000,000   | 2020/04/24 | 2020/10/23 | 11.60 |
| 26512    | SG Issuer - PA Gooddoctor European Warrants Oct 2020 A       | 60,000,000   | 2020/04/24 | 2020/10/23 | 15.00 |
| 26532    | SG Issuer - Ping An European Warrants Oct 2020 A             | 60,000,000   | 2020/04/24 | 2020/10/30 | 15.00 |
| 26509    | SG Issuer - Tencent European Put Warrants Sep 2020 E         | 100,000,000  | 2020/04/24 | 2020/09/24 | 15.00 |
| 26563    | UBS AG - Alibaba European Warrants Oct 2020 B                | 100,000,000  | 2020/04/24 | 2020/10/23 | 15.00 |
| 26560    | UBS AG - Geely Auto European Warrants Dec 2020 A             | 70,000,000   | 2020/04/24 | 2020/12/08 | 10.50 |
| 26558    | UBS AG - PA Gooddoctor European Warrants Oct 2020 A          | 80,000,000   | 2020/04/24 | 2020/10/23 | 20.00 |
| 26614    | Bank Vontobel - Ping An European Put Warrants Nov 2020 A     | 30,000,000   | 2020/04/24 | 2020/11/02 | 10.68 |
| 26674    | BOCI Asia Ltd. - ICBC European Warrants Sep 2020 A           | 70,000,000   | 2020/04/27 | 2020/09/23 | 10.50 |
| 26650    | BNP Paribas Issuance B.V. - HSBC European Wts Oct 2020 B     | 70,000,000   | 2020/04/27 | 2020/10/06 | 11.90 |
| 26648    | BNP Paribas Issuance B.V. - HSI European Wts Sep 2020 B      | 80,000,000   | 2020/04/27 | 2020/09/29 | 12.00 |
| 26647    | Credit Suisse AG - AIA European Warrants Sep 2020 C          | 70,000,000   | 2020/04/27 | 2020/09/23 | 10.50 |
| 26643    | Credit Suisse AG - China South Air European Wts Oct 2020 A   | 30,000,000   | 2020/04/27 | 2020/10/27 | 12.00 |
| 26641    | Credit Suisse AG - HKEX European Warrants Nov 2020 B         | 200,000,000  | 2020/04/27 | 2020/11/25 | 30.00 |
| 26636    | Credit Suisse AG - Ping An European Warrants Oct 2020 A      | 150,000,000  | 2020/04/27 | 2020/10/22 | 33.00 |
| 26639    | Credit Suisse AG - Tencent European Wts Sep 2020 C           | 250,000,000  | 2020/04/27 | 2020/09/23 | 37.50 |
| 26684    | Goldman Sachs SP (Asia) - Alibaba European Wts Aug 2020 B    | 100,000,000  | 2020/04/27 | 2020/08/17 | 15.00 |
| 26694    | Goldman Sachs SP (Asia) - HSI European Put Wts Jul 2020 B    | 150,000,000  | 2020/04/27 | 2020/07/30 | 34.35 |
| 26691    | Goldman Sachs SP (Asia) - Meituan European Warrants Nov20 B  | 80,000,000   | 2020/04/27 | 2020/11/25 | 12.88 |
| 26663    | J P Morgan SP BV - CC Bank European Wts Nov 2020 A           | 100,000,000  | 2020/04/27 | 2020/11/03 | 25.10 |
| 26664    | J P Morgan SP BV - Hua Hong Semi European Warrants Oct2020 A | 60,000,000   | 2020/04/27 | 2020/10/30 | 15.24 |
| 26651    | J P Morgan SP BV - Kingdee Intl European Warrants Oct 2020 A | 60,000,000   | 2020/04/27 | 2020/10/30 | 15.00 |
| 26667    | J P Morgan SP BV - PA Gooddoctor European Warrants Nov2020 A | 60,000,000   | 2020/04/27 | 2020/11/30 | 15.66 |
| 26625    | Macquarie Bank Ltd. - CNBM European Warrants Jan 2021 A      | 40,000,000   | 2020/04/27 | 2021/01/05 | 10.12 |
| 26621    | Macquarie Bank Ltd. - Tencent European Warrants Nov 2020 D   | 11,000,000   | 2020/04/27 | 2020/11/02 | 10.10 |
| 26632    | Morgan Stanley Asia Products Ltd. - Alibaba Euro Wts Oct20 B | 80,000,000   | 2020/04/27 | 2020/10/06 | 12.00 |
| 26619    | Morgan Stanley Asia Products Ltd. - HKEX Eu Put Wts Dec20 B  | 80,000,000   | 2020/04/27 | 2020/12/23 | 12.00 |
| 26615    | Morgan Stanley Asia Products Ltd. - SMIC European Wts Oct20A | 40,000,000   | 2020/04/27 | 2020/10/29 | 10.00 |
| 26616    | Morgan Stanley Asia Products Ltd. - SMIC European Wts Dec20A | 40,000,000   | 2020/04/27 | 2020/12/30 | 10.00 |

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|----------|---------------------------------------------------------------|--------------|------------|------------|--------|
| 26617    | Morgan Stanley Asia Products Ltd. - ZA Online Euro Wts Oct20A | 58,000,000   | 2020/04/27 | 2020/10/05 | 10.44  |
| 26677    | SG Issuer - Alibaba Group European Warrants Sep 2020 D        | 150,000,000  | 2020/04/27 | 2020/09/24 | 22.50  |
| 26680    | SG Issuer - Alibaba Group European Warrants Oct 2020 D        | 80,000,000   | 2020/04/27 | 2020/10/27 | 12.00  |
| 26681    | SG Issuer - Alibaba Group European Warrants Apr 2021 A        | 150,000,000  | 2020/04/27 | 2021/04/23 | 22.50  |
| 26631    | UBS AG - AAC Tech European Put Warrants Sep 2020 A            | 40,000,000   | 2020/04/27 | 2020/09/23 | 10.00  |
| 26626    | UBS AG - CC Bank European Put Warrants Oct 2020 A             | 70,000,000   | 2020/04/27 | 2020/10/27 | 17.50  |
| 26629    | UBS AG - WH Group European Warrants Oct 2020 A                | 70,000,000   | 2020/04/27 | 2020/10/09 | 10.50  |
| 26709    | Bank Vontobel - Sino Biopharm European Warrants Dec 2020 A    | 40,000,000   | 2020/04/27 | 2020/12/28 | 10.04  |
| 26703    | Bank Vontobel - Tencent European Warrants Sep 2020 B          | 80,000,000   | 2020/04/27 | 2020/09/23 | 12.08  |
| 26700    | Bank Vontobel - Tencent European Put Warrants Aug 2020 A      | 80,000,000   | 2020/04/27 | 2020/08/24 | 12.08  |
| 26698    | Bank Vontobel - Tencent European Put Warrants Sep 2020 C      | 80,000,000   | 2020/04/27 | 2020/09/18 | 24.88  |
| 26741    | BOCI Asia Ltd. - Geely Auto European Warrants Dec 2020 B      | 100,000,000  | 2020/04/28 | 2020/12/08 | 15.00  |
| 26746    | BOCI Asia Ltd. - SUNAC European Warrants Oct 2020 A           | 40,000,000   | 2020/04/28 | 2020/10/30 | 10.00  |
| 26730    | BNP Paribas Issuance B.V. - China Mobile Euro Wts Jan 2021 A  | 40,000,000   | 2020/04/28 | 2021/01/05 | 10.00  |
| 26719    | BNP Paribas Issuance B.V. - HKEX European Wts Nov 2020 B      | 40,000,000   | 2020/04/28 | 2020/11/03 | 10.00  |
| 26716    | BNP Paribas Issuance B.V. - HSBC European Wts May 2021 A      | 40,000,000   | 2020/04/28 | 2021/05/04 | 10.00  |
| 26784    | Credit Suisse AG - AAC Tech European Warrants Sep 2021 A      | 100,000,000  | 2020/04/28 | 2021/09/27 | 15.00  |
| 26789    | Credit Suisse AG - CC Bank European Warrants Oct 2020 A       | 60,000,000   | 2020/04/28 | 2020/10/27 | 10.02  |
| 26786    | Credit Suisse AG - Ch Oilfield European Warrants Nov 2020 A   | 50,000,000   | 2020/04/28 | 2020/11/30 | 12.50  |
| 26782    | Credit Suisse AG - HSI European Warrants Oct 2020 B           | 150,000,000  | 2020/04/28 | 2020/10/29 | 22.50  |
| 26788    | Credit Suisse AG - PA Gooddoctor European Warrants Oct2020 B  | 50,000,000   | 2020/04/28 | 2020/10/27 | 12.50  |
| 26787    | Credit Suisse AG - Sino Biopharm European Wts Feb 2021 A      | 80,000,000   | 2020/04/28 | 2021/02/22 | 12.00  |
| 26781    | Citigroup Global - BYD Company European Warrants Oct 2021 A   | 100,000,000  | 2020/04/28 | 2021/10/29 | 25.00  |
| 26801    | Goldman Sachs SP (Asia) - Alibaba European Wts Nov 2020 B     | 150,000,000  | 2020/04/28 | 2020/11/23 | 22.50  |
| 26806    | Goldman Sachs SP (Asia) - CC Bank European Wts Jul 2020 B     | 80,000,000   | 2020/04/28 | 2020/07/29 | 12.00  |
| 26807    | Goldman Sachs SP (Asia) - Xiaomi European Wts Sep 2020 D      | 80,000,000   | 2020/04/28 | 2020/09/23 | 13.52  |
| 26739    | HK Bank - Sinopec Corp European Warrants Oct 2020 B           | 100,000,000  | 2020/04/28 | 2020/10/30 | 25.00  |
| 26711    | HK Bank - Lenovo European Warrants Dec 2021 B                 | 200,000,000  | 2020/04/28 | 2021/12/31 | 50.00  |
| 26736    | HK Bank - PetroChina European Warrants Oct 2020 B             | 100,000,000  | 2020/04/28 | 2020/10/30 | 25.00  |
| 26737    | HK Bank - SMIC European Warrants Dec 2020 A                   | 100,000,000  | 2020/04/28 | 2020/12/31 | 25.00  |
| 26797    | J P Morgan SP BV - HSI European Warrants Dec 2020 A           | 400,000,000  | 2020/04/28 | 2020/12/30 | 100.40 |
| 26791    | J P Morgan SP BV - Sh Petrochem European Warrants Oct 2020 A  | 50,000,000   | 2020/04/28 | 2020/10/30 | 15.70  |
| 26732    | Macquarie Bank Ltd. - Alibaba European Warrants Nov 2020 A    | 14,500,000   | 2020/04/28 | 2020/11/03 | 10.27  |
| 26733    | Macquarie Bank Ltd. - Alibaba European Warrants Nov 2020 B    | 38,500,000   | 2020/04/28 | 2020/11/03 | 10.13  |
| 26734    | Macquarie Bank Ltd. - Alibaba European Warrants Nov 2020 C    | 29,000,000   | 2020/04/28 | 2020/11/03 | 10.18  |
| 26771    | UBS AG - Alibaba European Put Warrants Sep 2020 C             | 200,000,000  | 2020/04/28 | 2020/09/28 | 30.00  |
| 26770    | UBS AG - Tencent European Warrants Sep 2020 D                 | 300,000,000  | 2020/04/28 | 2020/09/23 | 45.00  |
| 26832    | BOCI Asia Ltd. - Alibaba European Warrants Sep 2020 D         | 100,000,000  | 2020/04/29 | 2020/09/30 | 15.00  |
| 26834    | BOCI Asia Ltd. - HKEX European Warrants Sep 2020 B            | 100,000,000  | 2020/04/29 | 2020/09/28 | 15.00  |
| 26831    | BOCI Asia Ltd. - PA Gooddoctor European Warrants Oct 2020 B   | 80,000,000   | 2020/04/29 | 2020/10/30 | 20.00  |
| 26837    | BOCI Asia Ltd. - Tencent European Warrants Sep 2020 E         | 200,000,000  | 2020/04/29 | 2020/09/30 | 30.00  |
| 26838    | BOCI Asia Ltd. - Tencent European Put Wts Aug 2020 C          | 200,000,000  | 2020/04/29 | 2020/08/31 | 54.00  |
| 26854    | Credit Suisse AG - Ali Health European Warrants Oct 2020 A    | 40,000,000   | 2020/04/29 | 2020/10/28 | 11.20  |
| 26858    | Credit Suisse AG - CITIC European Warrants Apr 2021 A         | 60,000,000   | 2020/04/29 | 2021/04/30 | 15.00  |



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|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 26853    | Credit Suisse AG - Jiangxi Copper European Wts Dec 2020 D    | 60,000,000   | 2020/04/29 | 2020/12/31 15.00  |
| 26850    | Credit Suisse AG - Xiaomi European Warrants Oct 2020 C       | 150,000,000  | 2020/04/29 | 2020/10/27 22.50  |
| 26852    | Credit Suisse AG - Xiaomi European Warrants Dec 2020 F       | 150,000,000  | 2020/04/29 | 2020/12/23 22.50  |
| 26936    | Goldman Sachs SP (Asia) - Alibaba European Wts Jun 2021 A    | 150,000,000  | 2020/04/29 | 2021/06/23 22.50  |
| 26944    | Goldman Sachs SP (Asia) - CNOOC European Warrants Oct 2020 B | 80,000,000   | 2020/04/29 | 2020/10/22 12.00  |
| 26943    | Goldman Sachs SP (Asia) - Evergrande European Wts Dec 2020 A | 70,000,000   | 2020/04/29 | 2020/12/24 10.50  |
| 26937    | Goldman Sachs SP (Asia) - PA Gooddoctor European Wts Dec20 A | 100,000,000  | 2020/04/29 | 2020/12/30 25.00  |
| 26817    | HK Bank - AAC Tech European Warrants Jun 2021 A              | 100,000,000  | 2020/04/29 | 2021/06/09 15.00  |
| 26825    | HK Bank - Bank of China European Warrants Nov 2020 A         | 80,000,000   | 2020/04/29 | 2020/11/23 12.00  |
| 26822    | HK Bank - CC Bank European Warrants Oct 2020 A               | 80,000,000   | 2020/04/29 | 2020/10/30 20.00  |
| 26811    | HK Bank - CSPC Pharma European Warrants Dec 2020 A           | 100,000,000  | 2020/04/29 | 2020/12/31 25.00  |
| 26823    | HK Bank - ICBC European Warrants Oct 2020 A                  | 80,000,000   | 2020/04/29 | 2020/10/30 20.00  |
| 26810    | HK Bank - Sunny Optical European Warrants Oct 2020 B         | 100,000,000  | 2020/04/29 | 2020/10/05 15.00  |
| 26931    | Haitong Int'l Sec - Alibaba European Warrants Nov 2020 A     | 70,000,000   | 2020/04/29 | 2020/11/23 10.50  |
| 26933    | Haitong Int'l Sec - Meituan European Warrants Dec 2020 B     | 70,000,000   | 2020/04/29 | 2020/12/23 10.50  |
| 26911    | Haitong Int'l Sec - PA Gooddoctor European Warrants Oct20 A  | 60,000,000   | 2020/04/29 | 2020/10/29 19.80  |
| 26914    | Haitong Int'l Sec - Tencent European Warrants Oct 2020 A     | 60,000,000   | 2020/04/29 | 2020/10/28 12.60  |
| 26879    | J P Morgan SP BV - Alibaba European Warrants Aug 2020 B      | 250,000,000  | 2020/04/29 | 2020/08/17 38.25  |
| 26867    | J P Morgan SP BV - Ali Health European Warrants Oct 2020 B   | 60,000,000   | 2020/04/29 | 2020/10/30 17.58  |
| 26869    | J P Morgan SP BV - CS Services European Warrants Oct 2020 A  | 80,000,000   | 2020/04/29 | 2020/10/30 25.84  |
| 26860    | J P Morgan SP BV - Sinopec Corp Eu Put Wt Oct 2020 A         | 80,000,000   | 2020/04/29 | 2020/10/30 20.56  |
| 26877    | J P Morgan SP BV - Cosco Ship Engy European Warrants Dec20 A | 60,000,000   | 2020/04/29 | 2020/12/31 15.00  |
| 26871    | J P Morgan SP BV - PA Gooddoctor European Warrants Oct2020 B | 60,000,000   | 2020/04/29 | 2020/10/30 15.06  |
| 26827    | Macquarie Bank Ltd. - Sino Biopharm European Wts Feb 2021 A  | 31,800,000   | 2020/04/29 | 2021/02/02 10.08  |
| 26829    | Macquarie Bank Ltd. - Tsingtao Brew European Warrants May21A | 17,000,000   | 2020/04/29 | 2021/05/18 10.18  |
| 26828    | Macquarie Bank Ltd. - China Vanke European Wts Nov 2020 A    | 24,000,000   | 2020/04/29 | 2020/11/03 11.16  |
| 26904    | Morgan Stanley Asia Products Ltd. - Alibaba Euro Wts Oct20 C | 108,000,000  | 2020/04/29 | 2020/10/20 17.28  |
| 26901    | Morgan Stanley Asia Products Ltd. - Alibaba Euro Wts Nov20 A | 108,000,000  | 2020/04/29 | 2020/11/23 16.20  |
| 26880    | Morgan Stanley Asia Products Ltd. - China Life Eu Wts Sep20C | 68,000,000   | 2020/04/29 | 2020/09/18 10.20  |
| 26885    | Morgan Stanley Asia Products Ltd. - HSBC European Wts Oct20B | 68,000,000   | 2020/04/29 | 2020/10/05 15.03  |
| 26890    | Morgan Stanley Asia Products Ltd. - HSBC Euro Put Wts Sep20A | 68,000,000   | 2020/04/29 | 2020/09/29 17.20  |
| 26891    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Sep20 A | 98,000,000   | 2020/04/29 | 2020/09/01 15.09  |
| 26894    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Sep20 B | 98,000,000   | 2020/04/29 | 2020/09/11 26.46  |
| 26895    | Morgan Stanley Asia Products Ltd. - Tencent Eu Put Wt Aug20A | 80,000,000   | 2020/04/29 | 2020/08/24 16.64  |
| 26893    | Morgan Stanley Asia Products Ltd. - Tencent Eu Put Wt Sep20C | 80,000,000   | 2020/04/29 | 2020/09/01 21.92  |
| 26908    | SG Issuer - PA Gooddoctor European Warrants Oct 2020 B       | 60,000,000   | 2020/04/29 | 2020/10/28 15.00  |
| 26809    | UBS AG - Alibaba European Warrants Dec 2020 A                | 200,000,000  | 2020/04/29 | 2020/12/24 30.00  |
| 26846    | UBS AG - Meituan European Put Warrants Sep 2020 B            | 100,000,000  | 2020/04/29 | 2020/09/23 17.70  |
| 26840    | UBS AG - PA Gooddoctor European Warrants Oct 2020 B          | 80,000,000   | 2020/04/29 | 2020/10/28 20.00  |
| 26905    | Bank Vontobel - Ping An European Warrants Nov 2020 A         | 40,000,000   | 2020/04/29 | 2020/11/26 10.00  |
| 27012    | Credit Suisse AG - Cosco Ship Engy European Warrants Nov20 A | 60,000,000   | 2020/05/04 | 2020/11/30 15.00  |
| 27005    | Credit Suisse AG - Kunlun Energy European Wts Nov 2020 A     | 30,000,000   | 2020/05/04 | 2020/11/03 12.00  |
| 27001    | Credit Suisse AG - Kingdee Int'l European Warrants Nov2020 A | 40,000,000   | 2020/05/04 | 2020/11/03 10.00  |
| 26987    | Credit Suisse AG - PA Gooddoctor European Warrants Dec2020 A | 100,000,000  | 2020/05/04 | 2020/12/31 25.00  |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 到期日 (百萬港元) | 集資金額  |
|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 27002    | Credit Suisse AG - Weigao Group European Warrants Nov 2020 A | 35,000,000   | 2020/05/04 | 2020/11/03 | 10.15 |
| 27016    | Goldman Sachs SP (Asia) - Bank of China Euro Wts Nov 2020 A  | 80,000,000   | 2020/05/04 | 2020/11/23 | 12.00 |
| 27018    | Goldman Sachs SP (Asia) - SHK Ppt European Wts Dec 2020 A    | 80,000,000   | 2020/05/04 | 2020/12/23 | 12.00 |
| 27015    | Goldman Sachs SP (Asia) - Tencent European Wts Aug 2020 H    | 150,000,000  | 2020/05/04 | 2020/08/24 | 22.50 |
| 26949    | HK Bank - PA Gooddoctor European Warrants Nov 2020 A         | 100,000,000  | 2020/05/04 | 2020/11/30 | 25.00 |
| 26968    | J P Morgan SP BV - Beijing Airport European Warrants Jul21 A | 60,000,000   | 2020/05/04 | 2021/07/09 | 10.38 |
| 10134    | J P Morgan SP BV - N225 Index Euro Wts Dec 2020 A            | 100,000,000  | 2020/05/04 | 2020/12/11 | 25.20 |
| 10135    | J P Morgan SP BV - N225 Index Euro Put Wts Dec 2020 A        | 100,000,000  | 2020/05/04 | 2020/12/11 | 25.00 |
| 26962    | J P Morgan SP BV - ND Paper European Warrants Mar 2021 A     | 50,000,000   | 2020/05/04 | 2021/03/01 | 12.55 |
| 26957    | Macquarie Bank Ltd. - Fosun Pharma European Wts Feb 2021 A   | 37,000,000   | 2020/05/04 | 2021/02/18 | 10.14 |
| 26969    | Morgan Stanley Asia Products Ltd. - Alibaba Euro Wts Oct20 D | 80,000,000   | 2020/05/04 | 2020/10/27 | 12.00 |
| 26970    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Sep20 A | 58,000,000   | 2020/05/04 | 2020/09/15 | 14.21 |
| 26972    | Morgan Stanley Asia Products Ltd. - Ping An Euro Wts Oct20 A | 58,000,000   | 2020/05/04 | 2020/10/22 | 13.63 |
| 26971    | Morgan Stanley Asia Products Ltd. - Ping An Eu Put Wt Sep20A | 68,000,000   | 2020/05/04 | 2020/09/21 | 10.20 |
| 26958    | UBS AG - Alibaba European Warrants Sep 2020 D                | 200,000,000  | 2020/05/04 | 2020/09/25 | 30.00 |
| 26974    | UBS AG - China Unicom European Warrants Oct 2020 A           | 34,000,000   | 2020/05/04 | 2020/10/23 | 10.20 |
| 26961    | UBS AG - SUNAC European Warrants Sep 2020 A                  | 50,000,000   | 2020/05/04 | 2020/09/23 | 10.05 |
| 26959    | UBS AG - Xiaomi European Warrants Dec 2020 A                 | 100,000,000  | 2020/05/04 | 2020/12/23 | 15.00 |
| 26977    | Bank Vontobel - AAC Tech European Warrants Nov 2020 A        | 30,000,000   | 2020/05/04 | 2020/11/26 | 10.02 |
| 26982    | Bank Vontobel - Geely Auto European Warrants Dec 2020 A      | 60,000,000   | 2020/05/04 | 2020/12/23 | 10.80 |
| 26983    | Bank Vontobel - Meituan European Warrants Dec 2020 B         | 80,000,000   | 2020/05/04 | 2020/12/23 | 12.00 |
| 26979    | Bank Vontobel - PICC GROUP European Warrants Nov 2020 A      | 40,000,000   | 2020/05/04 | 2020/11/03 | 10.00 |
| 27073    | BNP Paribas Issuance B.V. - CITIC Sec Euro Wts Dec 2020 A    | 60,000,000   | 2020/05/05 | 2020/12/02 | 15.00 |
| 27070    | BNP Paribas Issuance B.V. - China Life Euro Wts Nov 2020 A   | 70,000,000   | 2020/05/05 | 2020/11/03 | 10.50 |
| 27062    | BNP Paribas Issuance B.V. - Tencent European Wts Dec 2020 B  | 80,000,000   | 2020/05/05 | 2020/12/02 | 27.20 |
| 27066    | BNP Paribas Issuance B.V. - Tencent European Wts Jan 2021 B  | 80,000,000   | 2020/05/05 | 2021/01/05 | 23.20 |
| 27068    | BNP Paribas Issuance B.V. - Tencent Eu Put Wt Jan 2021 A     | 80,000,000   | 2020/05/05 | 2021/01/05 | 20.00 |
| 27089    | Credit Suisse AG - Bud Apac European Warrants Dec 2020 A     | 70,000,000   | 2020/05/05 | 2020/12/28 | 10.50 |
| 27090    | Credit Suisse AG - CKI Holdings European Warrants Nov 2020 A | 40,000,000   | 2020/05/05 | 2020/11/04 | 11.20 |
| 27088    | Credit Suisse AG - SMIC European Warrants Sep 2020 B         | 100,000,000  | 2020/05/05 | 2020/09/24 | 15.00 |
| 27091    | Credit Suisse AG - Zijin Mining European Warrants Nov 2020 A | 40,000,000   | 2020/05/05 | 2020/11/04 | 10.00 |
| 27099    | Goldman Sachs SP (Asia) - Alibaba European Wts Sep 2020 F    | 150,000,000  | 2020/05/05 | 2020/09/24 | 26.55 |
| 27096    | Goldman Sachs SP (Asia) - HSBC European Warrants Dec 2020 A  | 80,000,000   | 2020/05/05 | 2020/12/23 | 12.00 |
| 27108    | Goldman Sachs SP (Asia) - Ping An European Wts Sep 2022 A    | 200,000,000  | 2020/05/05 | 2022/09/27 | 30.00 |
| 27082    | J P Morgan SP BV - HSBC European Warrants Oct 2022 A         | 300,000,000  | 2020/05/05 | 2022/10/24 | 45.00 |
| 27081    | J P Morgan SP BV - Ping An European Warrants Feb 2021 C      | 200,000,000  | 2020/05/05 | 2021/02/19 | 30.00 |
| 27022    | Macquarie Bank Ltd. - AIA European Warrants Feb 2021 A       | 40,000,000   | 2020/05/05 | 2021/02/02 | 10.48 |
| 27044    | Macquarie Bank Ltd. - China Mobile European Wts Apr 2021 A   | 39,000,000   | 2020/05/05 | 2021/04/07 | 10.37 |
| 27020    | Macquarie Bank Ltd. - China Tower European Wts Jul 2021 A    | 36,000,000   | 2020/05/05 | 2021/07/05 | 10.19 |
| 27029    | Macquarie Bank Ltd. - HSBC European Warrants Dec 2020 A      | 30,000,000   | 2020/05/05 | 2020/12/02 | 10.26 |
| 27027    | Macquarie Bank Ltd. - HSBC European Warrants Feb 2021 A      | 40,000,000   | 2020/05/05 | 2021/02/02 | 10.20 |
| 27030    | Macquarie Bank Ltd. - HSBC European Warrants Jul 2021 A      | 40,000,000   | 2020/05/05 | 2021/07/05 | 10.32 |
| 27019    | Macquarie Bank Ltd. - MTRC European Warrants Jan 2021 A      | 40,000,000   | 2020/05/05 | 2021/01/05 | 11.08 |
| 27049    | Macquarie Bank Ltd. - Meituan European Warrants Sep 2020 A   | 60,000,000   | 2020/05/05 | 2020/09/02 | 10.38 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            | 集資金額       |       |
|----------|--------------------------------------------------------------|-------------|------------|------------|-------|
|          |                                                              | 發行單位        | 上市日期       | 到期日(百萬港元)  |       |
| 27054    | Macquarie Bank Ltd. - Ping An European Warrants Nov 2020 A   | 15,500,000  | 2020/05/05 | 2020/11/04 | 10.25 |
| 27055    | Macquarie Bank Ltd. - Ping An European Warrants Nov 2020 B   | 29,000,000  | 2020/05/05 | 2020/11/04 | 10.38 |
| 27026    | Macquarie Bank Ltd. - Sunart Retail European Warrants Feb21A | 27,500,000  | 2020/05/05 | 2021/02/08 | 10.26 |
| 27024    | Macquarie Bank Ltd. - Xiaomi European Warrants Dec 2020 B    | 55,000,000  | 2020/05/05 | 2020/12/31 | 10.23 |
| 27025    | Macquarie Bank Ltd. - Xiaomi European Warrants Dec 2020 C    | 67,000,000  | 2020/05/05 | 2020/12/02 | 10.18 |
| 27077    | SG Issuer - AAC Tech European Warrants May 2021 A            | 120,000,000 | 2020/05/05 | 2021/05/26 | 18.00 |
| 27078    | SG Issuer - CITIC Sec European Warrants Apr 2021 A           | 70,000,000  | 2020/05/05 | 2021/04/01 | 11.20 |
| 27080    | SG Issuer - HSBC European Warrants Oct 2022 A                | 200,000,000 | 2020/05/05 | 2022/10/31 | 30.00 |
| 27076    | SG Issuer - NCI European Warrants Oct 2020 B                 | 70,000,000  | 2020/05/05 | 2020/10/16 | 10.50 |
| 27093    | Bank Vontobel - SUNAC European Warrants Oct 2020 A           | 30,000,000  | 2020/05/05 | 2020/10/15 | 10.20 |
| 27092    | Bank Vontobel - Xiaomi European Warrants Sep 2020 C          | 50,000,000  | 2020/05/05 | 2020/09/25 | 10.00 |
| 27154    | BNP Paribas Issuance B.V. - AAC Tech Euro Wts Jun 2021 A     | 60,000,000  | 2020/05/06 | 2021/06/02 | 10.80 |
| 27153    | BNP Paribas Issuance B.V. - SMIC European Wts Oct 2020 A     | 80,000,000  | 2020/05/06 | 2020/10/06 | 12.80 |
| 27168    | Credit Suisse AG - R&F Ppt European Warrants Dec 2021 A      | 40,000,000  | 2020/05/06 | 2021/12/31 | 10.00 |
| 27166    | Credit Suisse AG - Haidilao European Warrants Nov 2020 A     | 40,000,000  | 2020/05/06 | 2020/11/05 | 15.20 |
| 27162    | Credit Suisse AG - Hua Hong Semi European Wts Nov 2020 A     | 50,000,000  | 2020/05/06 | 2020/11/05 | 12.50 |
| 27170    | Credit Suisse AG - Melco Int'l Dev European Wts Nov 2020 A   | 60,000,000  | 2020/05/06 | 2020/11/05 | 15.00 |
| 27201    | Guotai Junan - AIA European Warrants Oct 2020 B              | 100,000,000 | 2020/05/06 | 2020/10/09 | 22.50 |
| 27199    | Guotai Junan - Ping An European Warrants Sep 2020 B          | 100,000,000 | 2020/05/06 | 2020/09/28 | 17.80 |
| 27197    | Guotai Junan - Ping An European Put Warrants Dec 2020 A      | 100,000,000 | 2020/05/06 | 2020/12/29 | 15.00 |
| 27196    | Guotai Junan - Tencent European Warrants Sep 2020 B          | 100,000,000 | 2020/05/06 | 2020/09/28 | 20.80 |
| 27203    | Goldman Sachs SP (Asia) - AAC Tech Euro Wts May 2021 A       | 80,000,000  | 2020/05/06 | 2021/05/26 | 12.00 |
| 27204    | Goldman Sachs SP (Asia) - Ping An European Wts Feb 2021 A    | 200,000,000 | 2020/05/06 | 2021/02/19 | 30.00 |
| 27202    | Goldman Sachs SP (Asia) - Tencent European Put Wt Aug 2020 C | 100,000,000 | 2020/05/06 | 2020/08/24 | 15.00 |
| 27186    | J P Morgan SP BV - China East Air European Wts Dec 2020 A    | 40,000,000  | 2020/05/06 | 2020/12/31 | 10.44 |
| 27191    | J P Morgan SP BV - SD Gold European Warrants Nov 2020 A      | 50,000,000  | 2020/05/06 | 2020/11/06 | 12.50 |
| 27193    | J P Morgan SP BV - Tencent European Put Warrants Aug 2020 B  | 250,000,000 | 2020/05/06 | 2020/08/24 | 49.25 |
| 27109    | Macquarie Bank Ltd. - AIA European Put Warrants Jan 2021 A   | 17,000,000  | 2020/05/06 | 2021/01/05 | 10.03 |
| 27132    | Macquarie Bank Ltd. - BBMG European Warrants May 2021 A      | 34,800,000  | 2020/05/06 | 2021/05/18 | 10.02 |
| 27131    | Macquarie Bank Ltd. - China East Air European Wts Feb 2021 A | 20,500,000  | 2020/05/06 | 2021/02/11 | 10.17 |
| 27112    | Macquarie Bank Ltd. - KECL European Warrants Jan 2021 A      | 21,000,000  | 2020/05/06 | 2021/01/05 | 10.14 |
| 27133    | Macquarie Bank Ltd. - Nexteer European Warrants Mar 2021 A   | 13,500,000  | 2020/05/06 | 2021/03/12 | 10.07 |
| 27111    | Macquarie Bank Ltd. - Ping An European Warrants Nov 2020 C   | 33,500,000  | 2020/05/06 | 2020/11/05 | 10.12 |
| 27127    | Macquarie Bank Ltd. - Ping An European Put Wts Nov 2020 A    | 31,500,000  | 2020/05/06 | 2020/11/05 | 10.14 |
| 27147    | SG Issuer - China Mobile European Warrants Oct 2020 A        | 60,000,000  | 2020/05/06 | 2020/10/27 | 10.20 |
| 27142    | UBS AG - Alibaba European Warrants Nov 2020 A                | 200,000,000 | 2020/05/06 | 2020/11/23 | 30.00 |
| 27140    | UBS AG - Kunlun Energy European Warrants Jun 2021 A          | 60,000,000  | 2020/05/06 | 2021/06/21 | 15.00 |
| 27145    | UBS AG - Tencent European Warrants Sep 2020 E                | 300,000,000 | 2020/05/06 | 2020/09/18 | 45.00 |
| 24355#   | J P Morgan SP BV - HSI European Put Warrants Sep 2020 C      | 400,000,000 | 2020/05/06 | 2020/09/29 | 36.40 |
| 24356#   | J P Morgan SP BV - HSI European Put Warrants Oct 2020 B      | 400,000,000 | 2020/05/06 | 2020/10/29 | 34.80 |
| 27217    | BNP Paribas Issuance B.V. - Alibaba European Wts Dec 2020 A  | 40,000,000  | 2020/05/07 | 2020/12/02 | 11.20 |
| 27228    | BNP Paribas Issuance B.V. - Alibaba European Wts Jan 2021 D  | 40,000,000  | 2020/05/07 | 2021/01/05 | 10.80 |
| 27286    | Credit Suisse AG - Anta Sports European Warrants Dec 2020 A  | 80,000,000  | 2020/05/07 | 2020/12/23 | 12.00 |
| 27279    | Credit Suisse AG - China Com Services European Wts Dec2020 A | 60,000,000  | 2020/05/07 | 2020/12/31 | 15.00 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 到期日(百萬港元)  | 集資金額  |
|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 27275    | Credit Suisse AG - China Lit European Warrants Nov 2020 A    | 40,000,000   | 2020/05/07 | 2020/11/06 | 11.20 |
| 27285    | Credit Suisse AG - Galaxy Ent European Put Wts Aug 2020 A    | 50,000,000   | 2020/05/07 | 2020/08/31 | 12.50 |
| 27273    | Credit Suisse AG - Tencent Euro Put Wts Oct 2020 A           | 200,000,000  | 2020/05/07 | 2020/10/22 | 34.00 |
| 27284    | Credit Suisse AG - Travelsky Tech European Wts Dec 2020 A    | 60,000,000   | 2020/05/07 | 2020/12/31 | 15.00 |
| 27299    | Goldman Sachs SP (Asia) - HSI European Put Wts Sep 2020 E    | 150,000,000  | 2020/05/07 | 2020/09/29 | 22.50 |
| 27293    | Goldman Sachs SP (Asia) - Tencent European Wts Sep 2020 E    | 150,000,000  | 2020/05/07 | 2020/09/23 | 22.50 |
| 27298    | Goldman Sachs SP (Asia) - Xiaomi European Wts Sep 2020 E     | 80,000,000   | 2020/05/07 | 2020/09/23 | 12.00 |
| 27214    | HK Bank - CG Services European Warrants Dec 2021 A           | 100,000,000  | 2020/05/07 | 2021/12/31 | 25.00 |
| 27244    | J P Morgan SP BV - Galaxy Ent European Put Wts Nov 2020 A    | 60,000,000   | 2020/05/07 | 2020/11/30 | 15.06 |
| 27247    | J P Morgan SP BV - Meituan European Warrants May 2022 A      | 100,000,000  | 2020/05/07 | 2022/05/31 | 15.00 |
| 27245    | J P Morgan SP BV - YuHua Edu European Warrants Nov 2020 A    | 60,000,000   | 2020/05/07 | 2020/11/06 | 15.00 |
| 27246    | J P Morgan SP BV - Zijin Mining European Warrants Sep 2020 A | 60,000,000   | 2020/05/07 | 2020/09/30 | 21.90 |
| 27212    | Macquarie Bank Ltd. - A50 China European Warrants Dec 2020 A | 17,500,000   | 2020/05/07 | 2020/12/02 | 10.57 |
| 27238    | Macquarie Bank Ltd. - Meituan European Warrants Oct 2022 A   | 70,000,000   | 2020/05/07 | 2022/10/05 | 17.57 |
| 27242    | Macquarie Bank Ltd. - Razer European Warrants Jun 2021 A     | 39,000,000   | 2020/05/07 | 2021/06/16 | 10.14 |
| 27233    | Macquarie Bank Ltd. - Tencent European Warrants Nov 2020 E   | 40,000,000   | 2020/05/07 | 2020/11/25 | 10.16 |
| 27270    | Morgan Stanley Asia Products Ltd. - CS Services Eu Wt Nov20A | 40,000,000   | 2020/05/07 | 2020/11/09 | 12.80 |
| 27272    | Morgan Stanley Asia Products Ltd. - CS Services Eu Wt Nov20B | 40,000,000   | 2020/05/07 | 2020/11/09 | 10.00 |
| 27211    | Morgan Stanley Asia Products Ltd. - SMIC European Wts Dec20B | 68,000,000   | 2020/05/07 | 2020/12/23 | 10.20 |
| 27207    | Morgan Stanley Asia Products Ltd. - ZTE European Wts Sep20 B | 48,000,000   | 2020/05/07 | 2020/09/29 | 10.32 |
| 27267    | UBS AG - HKEX European Warrants Nov 2020 A                   | 300,000,000  | 2020/05/07 | 2020/11/25 | 45.00 |
| 27261    | UBS AG - HSI European Warrants Dec 2020 A                    | 300,000,000  | 2020/05/07 | 2020/12/30 | 45.00 |
| 27253    | UBS AG - Ping An European Warrants Oct 2020 A                | 100,000,000  | 2020/05/07 | 2020/10/22 | 23.40 |
| 27263    | UBS AG - SPDR Gold Trust European Warrants Dec 2020 B        | 100,000,000  | 2020/05/07 | 2020/12/18 | 15.00 |
| 27319    | BOCI Asia Ltd. - Zijin Mining European Warrants Nov 2020 A   | 40,000,000   | 2020/05/08 | 2020/11/30 | 10.80 |
| 27346    | BNP Paribas Issuance B.V. - Alibaba European Wts Apr 2021 A  | 80,000,000   | 2020/05/08 | 2021/04/07 | 22.40 |
| 27354    | BNP Paribas Issuance B.V. - Tencent European Wts Dec 2020 C  | 70,000,000   | 2020/05/08 | 2020/12/02 | 10.50 |
| 27348    | BNP Paribas Issuance B.V. - Tencent European Wts Jan 2021 C  | 60,000,000   | 2020/05/08 | 2021/01/05 | 15.00 |
| 27341    | Credit Suisse AG - BBMG European Warrants Nov 2020 A         | 50,000,000   | 2020/05/08 | 2020/11/09 | 12.50 |
| 27342    | Credit Suisse AG - BYD Electronic European Wts Nov 2020 A    | 50,000,000   | 2020/05/08 | 2020/11/09 | 12.50 |
| 27343    | Credit Suisse AG - CM Bank European Warrants Nov 2020 A      | 50,000,000   | 2020/05/08 | 2020/11/09 | 12.50 |
| 27344    | Credit Suisse AG - HSI European Warrants Nov 2020 A          | 150,000,000  | 2020/05/08 | 2020/11/27 | 22.50 |
| 27356    | Goldman Sachs SP (Asia) - Conch Cement European Wts Sep20 A  | 60,000,000   | 2020/05/08 | 2020/09/01 | 10.02 |
| 27359    | Goldman Sachs SP (Asia) - Meituan Euro Put Wts Dec 2020 A    | 100,000,000  | 2020/05/08 | 2020/12/23 | 15.00 |
| 27363    | Goldman Sachs SP (Asia) - Ping An European Wts Oct 2020 B    | 100,000,000  | 2020/05/08 | 2020/10/22 | 15.80 |
| 27316    | HK Bank - CM Bank European Warrants Nov 2020 A               | 80,000,000   | 2020/05/08 | 2020/11/30 | 20.00 |
| 27311    | HK Bank - HKEX European Warrants Dec 2020 B                  | 100,000,000  | 2020/05/08 | 2020/12/23 | 15.00 |
| 27318    | HK Bank - Meituan European Warrants Nov 2020 C               | 100,000,000  | 2020/05/08 | 2020/11/25 | 20.00 |
| 27312    | HK Bank - Ping An European Warrants Sep 2020 C               | 80,000,000   | 2020/05/08 | 2020/09/30 | 12.00 |
| 27306    | HK Bank - Tencent European Put Warrants Oct 2020 A           | 100,000,000  | 2020/05/08 | 2020/10/19 | 15.00 |
| 27301    | HK Bank - Tencent European Put Warrants Nov 2020 A           | 80,000,000   | 2020/05/08 | 2020/11/30 | 20.80 |
| 27313    | HK Bank - Xiaomi European Warrants Jan 2021 A                | 100,000,000  | 2020/05/08 | 2021/01/04 | 15.00 |
| 27326    | J P Morgan SP BV - China Lit European Warrants Nov 2020 A    | 50,000,000   | 2020/05/08 | 2020/11/09 | 15.75 |
| 27330    | J P Morgan SP BV - CM Bank European Warrants Nov 2020 A      | 60,000,000   | 2020/05/08 | 2020/11/09 | 15.06 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 27329    | J P Morgan SP BV - GAC European Warrants Oct 2020 A          | 70,000,000   | 2020/05/08 | 2020/10/05 10.50  |
| 27327    | J P Morgan SP BV - Ping An European Warrants Oct 2020 C      | 100,000,000  | 2020/05/08 | 2020/10/05 15.00  |
| 27321    | Macquarie Bank Ltd. - CSOP A50 ETF European Wts Jan 2021 A   | 17,500,000   | 2020/05/08 | 2021/01/05 10.50  |
| 27324    | UBS AG - Meituan European Warrants Aug 2020 B                | 100,000,000  | 2020/05/08 | 2020/08/24 15.00  |
| 27508    | Credit Suisse AG - Bank of China European Wts Dec 2020 A     | 70,000,000   | 2020/05/11 | 2020/12/23 10.50  |
| 27496    | Credit Suisse AG - CITIC Sec European Warrants Dec 2020 A    | 70,000,000   | 2020/05/11 | 2020/12/09 10.50  |
| 27478    | Credit Suisse AG - CSOP A50 ETF European Warrants Jan 2021 A | 70,000,000   | 2020/05/11 | 2021/01/26 10.50  |
| 27479    | Credit Suisse AG - CSOP A50 ETF European Warrants Apr 2021 A | 100,000,000  | 2020/05/11 | 2021/04/08 15.00  |
| 27481    | Credit Suisse AG - A50 China European Warrants Sep 2020 A    | 60,000,000   | 2020/05/11 | 2020/09/23 10.02  |
| 27486    | Credit Suisse AG - Geely Auto European Warrants Dec 2020 B   | 100,000,000  | 2020/05/11 | 2020/12/23 15.00  |
| 27495    | Credit Suisse AG - Haitong Sec European Warrants Dec 2020 A  | 60,000,000   | 2020/05/11 | 2020/12/31 15.00  |
| 27509    | Credit Suisse AG - ZTE European Warrants Nov 2020 A          | 40,000,000   | 2020/05/11 | 2020/11/10 16.00  |
| 27513    | Credit Suisse AG - ZTE European Put Warrants Nov 2020 A      | 40,000,000   | 2020/05/11 | 2020/11/10 12.00  |
| 27519    | Goldman Sachs SP (Asia) - AIA European Warrants Sep 2020 C   | 80,000,000   | 2020/05/11 | 2020/09/23 12.00  |
| 27524    | Goldman Sachs SP (Asia) - Alibaba European Wts Sep 2020 G    | 150,000,000  | 2020/05/11 | 2020/09/23 22.50  |
| 27525    | Goldman Sachs SP (Asia) - China Life Euro Wts Oct 2020 A     | 80,000,000   | 2020/05/11 | 2020/10/16 12.00  |
| 27372    | HK Bank - Anta Sports European Warrants Dec 2020 A           | 50,000,000   | 2020/05/11 | 2020/12/31 12.50  |
| 27365    | HK Bank - HSI European Warrants Oct 2020 A                   | 200,000,000  | 2020/05/11 | 2020/10/29 30.00  |
| 27370    | HK Bank - HSI European Warrants Oct 2020 B                   | 200,000,000  | 2020/05/11 | 2020/10/29 30.00  |
| 27375    | HK Bank - ZTE European Warrants Dec 2020 A                   | 50,000,000   | 2020/05/11 | 2020/12/31 12.50  |
| 27451    | J P Morgan SP BV - CITIC European Warrants Mar 2021 A        | 60,000,000   | 2020/05/11 | 2021/03/31 15.06  |
| 27514    | J P Morgan SP BV - China Feihe European Warrants Nov 2020 A  | 40,000,000   | 2020/05/11 | 2020/11/10 10.00  |
| 27454    | J P Morgan SP BV - HSI European Warrants Dec 2020 B          | 400,000,000  | 2020/05/11 | 2020/12/30 100.40 |
| 27436    | J P Morgan SP BV - Haitong Sec European Warrants Mar 2021 A  | 80,000,000   | 2020/05/11 | 2021/03/31 20.08  |
| 27456    | J P Morgan SP BV - ICBC European Warrants Nov 2020 A         | 100,000,000  | 2020/05/11 | 2020/11/10 25.00  |
| 27453    | J P Morgan SP BV - PSBC European Warrants Dec 2020 A         | 60,000,000   | 2020/05/11 | 2020/12/01 17.88  |
| 27465    | J P Morgan SP BV - ZTE European Warrants Sep 2020 A          | 60,000,000   | 2020/05/11 | 2020/09/24 11.22  |
| 27379    | Macquarie Bank Ltd. - PICC Group European Wts Mar 2021 A     | 40,000,000   | 2020/05/11 | 2021/03/02 10.20  |
| 27380    | Macquarie Bank Ltd. - Tencent European Warrants Nov 2020 F   | 30,000,000   | 2020/05/11 | 2020/11/25 10.17  |
| 27404    | Morgan Stanley Asia Products Ltd. - Ch Mob Euro Wt Mar2021 A | 100,000,000  | 2020/05/11 | 2021/03/23 25.00  |
| 27402    | Morgan Stanley Asia Products Ltd. - Ch Mob Eu Put Wt Oct20 B | 68,000,000   | 2020/05/11 | 2020/10/20 11.08  |
| 27406    | Morgan Stanley Asia Products Ltd. - China Tower Eu Wt Oct20B | 58,000,000   | 2020/05/11 | 2020/10/22 10.79  |
| 27384    | Morgan Stanley Asia Products Ltd. - HSI European Wts Oct20 A | 150,000,000  | 2020/05/11 | 2020/10/29 29.10  |
| 27383    | Morgan Stanley Asia Products Ltd. - HSI European Wts Nov20 A | 150,000,000  | 2020/05/11 | 2020/11/27 37.50  |
| 27385    | Morgan Stanley Asia Products Ltd. - HSI European Wts Nov20 B | 150,000,000  | 2020/05/11 | 2020/11/27 37.50  |
| 27409    | Morgan Stanley Asia Products Ltd. - Ping An Euro Wts Dec20 B | 88,000,000   | 2020/05/11 | 2020/12/22 16.10  |
| 27432    | UBS AG - CSPC Pharma European Warrants Sep 2020 A            | 60,000,000   | 2020/05/11 | 2020/09/16 10.02  |
| 27415    | UBS AG - NCI European Warrants Oct 2020 A                    | 70,000,000   | 2020/05/11 | 2020/10/16 10.50  |
| 27422    | UBS AG - Zijin Mining European Warrants Nov 2020 A           | 60,000,000   | 2020/05/11 | 2020/11/16 15.00  |
| 27413    | Bank Vontobel - HSBC European Warrants Dec 2020 A            | 50,000,000   | 2020/05/11 | 2020/12/23 10.00  |
| 24188#   | Haitong Int'l Sec - CNOOC European Warrants Sep 2020 A       | 82,000,000   | 2020/05/11 | 2020/09/30 10.00  |
| 27669    | BOCI Asia Ltd. - Henderson Land European Warrants Mar 2021 A | 50,000,000   | 2020/05/12 | 2021/03/31 13.00  |
| 27612    | BOCI Asia Ltd. - ZTE European Warrants Sep 2020 B            | 40,000,000   | 2020/05/12 | 2020/09/24 10.00  |
| 27599    | Credit Suisse AG - China Life European Put Wts Sep 2020 A    | 80,000,000   | 2020/05/12 | 2020/09/23 12.00  |



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|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 27600    | Credit Suisse AG - Sinopec Corp European Warrants Sep 2020 A | 70,000,000   | 2020/05/12 | 2020/09/23 | 10.50 |
| 27588    | Credit Suisse AG - HSI European Put Warrants Sep 2020 G      | 150,000,000  | 2020/05/12 | 2020/09/29 | 22.50 |
| 27609    | Credit Suisse AG - Zijin Mining European Warrants Nov 2020 B | 40,000,000   | 2020/05/12 | 2020/11/11 | 11.20 |
| 27701    | Citigroup Global - Ping An European Warrants Oct 2020 A      | 100,000,000  | 2020/05/12 | 2020/10/22 | 17.60 |
| 27703    | Citigroup Global - Ping An European Warrants Dec 2020 B      | 100,000,000  | 2020/05/12 | 2020/12/02 | 17.10 |
| 27709    | Citigroup Global - Sands China European Warrants Sep 2020 A  | 100,000,000  | 2020/05/12 | 2020/09/30 | 15.00 |
| 27700    | Citigroup Global - Tencent European Warrants Aug 2020 C      | 100,000,000  | 2020/05/12 | 2020/08/19 | 15.20 |
| 27707    | Citigroup Global - Tencent European Put Warrants Sep 2020 C  | 100,000,000  | 2020/05/12 | 2020/09/24 | 15.00 |
| 27537    | Guotai Junan - Tencent European Warrants Sep 2020 C          | 100,000,000  | 2020/05/12 | 2020/09/04 | 17.30 |
| 27535    | Guotai Junan - Xiaomi European Put Warrants Oct 2020 A       | 100,000,000  | 2020/05/12 | 2020/10/09 | 18.10 |
| 27731    | Goldman Sachs SP (Asia) - Galaxy Ent Euro Put Wts Aug 2020 A | 80,000,000   | 2020/05/12 | 2020/08/12 | 14.96 |
| 27730    | Goldman Sachs SP (Asia) - HKEX European Put Wts Nov 2020 A   | 100,000,000  | 2020/05/12 | 2020/11/25 | 15.00 |
| 27713    | Goldman Sachs SP (Asia) - HSI European Warrants Oct 2020 A   | 150,000,000  | 2020/05/12 | 2020/10/29 | 22.50 |
| 27718    | Goldman Sachs SP (Asia) - Tencent European Wts Oct 2020 B    | 150,000,000  | 2020/05/12 | 2020/10/19 | 29.85 |
| 27678    | Haitong Int'l Sec - China Mobile European Wts Sep 2020 B     | 60,000,000   | 2020/05/12 | 2020/09/30 | 11.40 |
| 27683    | Haitong Int'l Sec - Sinopec Corp European Wts Sep 2020 A     | 60,000,000   | 2020/05/12 | 2020/09/24 | 16.20 |
| 27672    | Haitong Int'l Sec - CSPC Pharma European Warrants Sep 2020 A | 70,000,000   | 2020/05/12 | 2020/09/16 | 10.50 |
| 27674    | Haitong Int'l Sec - Evergrande European Warrants Dec 2020 A  | 60,000,000   | 2020/05/12 | 2020/12/24 | 13.20 |
| 27695    | Haitong Int'l Sec - HSI European Put Warrants Oct 2020 B     | 200,000,000  | 2020/05/12 | 2020/10/29 | 30.00 |
| 27680    | Haitong Int'l Sec - Sands China European Warrants Sep 2020 A | 60,000,000   | 2020/05/12 | 2020/09/18 | 13.20 |
| 27673    | Haitong Int'l Sec - Tencent European Warrants Aug 2020 A     | 70,000,000   | 2020/05/12 | 2020/08/27 | 10.50 |
| 27686    | Haitong Int'l Sec - Tencent European Warrants Sep 2020 B     | 60,000,000   | 2020/05/12 | 2020/09/18 | 18.00 |
| 27684    | Haitong Int'l Sec - Tencent European Put Warrants Aug 2020 A | 60,000,000   | 2020/05/12 | 2020/08/24 | 10.80 |
| 27685    | Haitong Int'l Sec - Tencent European Put Warrants Aug 2020 B | 60,000,000   | 2020/05/12 | 2020/08/24 | 13.80 |
| 27660    | J P Morgan SP BV - Koolearn European Warrants Jun 2021 A     | 40,000,000   | 2020/05/12 | 2021/06/25 | 10.00 |
| 27655    | J P Morgan SP BV - Lenovo European Warrants Dec 2021 A       | 70,000,000   | 2020/05/12 | 2021/12/23 | 10.50 |
| 27552    | Macquarie Bank Ltd. - Air China European Warrants Oct 2021 A | 40,000,000   | 2020/05/12 | 2021/10/05 | 10.12 |
| 27582    | Macquarie Bank Ltd. - BYD Electronic European Wts Apr 2021 A | 40,000,000   | 2020/05/12 | 2021/04/07 | 20.80 |
| 27545    | Macquarie Bank Ltd. - China Gas Hold Euro Wts Apr 2021 A     | 24,000,000   | 2020/05/12 | 2021/04/07 | 10.30 |
| 27551    | Macquarie Bank Ltd. - CGS European Warrants Dec 2020 A       | 27,000,000   | 2020/05/12 | 2020/12/16 | 10.07 |
| 27575    | Macquarie Bank Ltd. - CK Asset European Warrants Jan 2021 A  | 30,000,000   | 2020/05/12 | 2021/01/05 | 10.02 |
| 27544    | Macquarie Bank Ltd. - Greatwall Motor Euro Wts Oct 2021 A    | 39,000,000   | 2020/05/12 | 2021/10/05 | 10.22 |
| 27538    | Macquarie Bank Ltd. - Tencent European Put Wts Nov 2020 B    | 34,000,000   | 2020/05/12 | 2020/11/25 | 10.03 |
| 27571    | Macquarie Bank Ltd. - Wynn Macau European Wts Apr 2021 A     | 40,000,000   | 2020/05/12 | 2021/04/07 | 10.00 |
| 27586    | Morgan Stanley Asia Products Ltd. - CCB Euro Wts Nov 2020 A  | 68,000,000   | 2020/05/12 | 2020/11/12 | 19.24 |
| 27587    | Morgan Stanley Asia Products Ltd. - Xiaomi Euro Wts Nov 20 A | 98,000,000   | 2020/05/12 | 2020/11/23 | 14.70 |
| 27614    | UBS AG - Ali Health European Warrants Nov 2020 A             | 60,000,000   | 2020/05/12 | 2020/11/16 | 15.00 |
| 27617    | UBS AG - A-Living European Warrants Dec 2020 A               | 40,000,000   | 2020/05/12 | 2020/12/30 | 20.32 |
| 27628    | UBS AG - BOC HK European Warrants Dec 2020 A                 | 100,000,000  | 2020/05/12 | 2020/12/23 | 15.00 |
| 27624    | UBS AG - CKH Holdings European Warrants Oct 2020 A           | 60,000,000   | 2020/05/12 | 2020/10/22 | 10.08 |
| 27622    | UBS AG - CM Bank European Warrants Nov 2020 A                | 70,000,000   | 2020/05/12 | 2020/11/16 | 17.50 |
| 27615    | UBS AG - SMIC European Warrants Dec 2020 B                   | 70,000,000   | 2020/05/12 | 2020/12/14 | 17.50 |
| 27613    | UBS AG - Xiaomi European Put Warrants Dec 2020 A             | 100,000,000  | 2020/05/12 | 2020/12/23 | 15.00 |
| 27634    | UBS AG - ZTE European Warrants Sep 2020 A                    | 50,000,000   | 2020/05/12 | 2020/09/24 | 12.75 |

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|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 27663    | Bank Vontobel - Alibaba Group European Warrants Sep 2020 C   | 50,000,000   | 2020/05/12 | 2020/09/28 | 10.00 |
| 27666    | Bank Vontobel - Meituan European Put Warrants Sep 2020 B     | 80,000,000   | 2020/05/12 | 2020/09/23 | 12.00 |
| 25692#   | Credit Suisse AG - Zijin Mining European Warrants Oct 2020 A | 30,000,000   | 2020/05/12 | 2020/10/05 | 10.80 |
| 25665#   | Credit Suisse AG - ZTE European Warrants Oct 2020 A          | 40,000,000   | 2020/05/12 | 2020/10/05 | 10.80 |
| 27753    | BNP Paribas Issuance B.V. - CSOP A50 ETF Eu Wts Jan 2021 A   | 80,000,000   | 2020/05/13 | 2021/01/18 | 12.00 |
| 27754    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Mar 2021 A | 100,000,000  | 2020/05/13 | 2021/03/02 | 25.00 |
| 27755    | BNP Paribas Issuance B.V. - Ping An European Wt Mar 2021 A   | 40,000,000   | 2020/05/13 | 2021/03/02 | 10.00 |
| 27756    | BNP Paribas Issuance B.V. - Xiaomi Euro Warrants Feb 2021 A  | 60,000,000   | 2020/05/13 | 2021/02/02 | 15.00 |
| 27964    | Credit Suisse AG - BAIC Motor European Warrants Nov 2020 A   | 30,000,000   | 2020/05/13 | 2020/11/12 | 10.20 |
| 27971    | Credit Suisse AG - CNBM European Warrants Nov 2020 A         | 60,000,000   | 2020/05/13 | 2020/11/12 | 15.00 |
| 27972    | Credit Suisse AG - China State Con European Warrants May21 A | 70,000,000   | 2020/05/13 | 2021/05/31 | 17.50 |
| 27914    | Credit Suisse AG - China Feihe European Warrants Nov 2020 A  | 40,000,000   | 2020/05/13 | 2020/11/12 | 11.60 |
| 27911    | Credit Suisse AG - Koolearn European Warrants Apr 2021 A     | 80,000,000   | 2020/05/13 | 2021/04/30 | 20.00 |
| 27922    | Credit Suisse AG - Lenovo European Warrants Oct 2020 A       | 40,000,000   | 2020/05/13 | 2020/10/23 | 10.00 |
| 27906    | Credit Suisse AG - Meituan European Put Warrants Sep 2020 B  | 100,000,000  | 2020/05/13 | 2020/09/23 | 15.00 |
| 27921    | Credit Suisse AG - Shenzhen Intl European Wts Nov 2020 A     | 40,000,000   | 2020/05/13 | 2020/11/12 | 10.00 |
| 27903    | Goldman Sachs SP (Asia) - CM Bank European Wts Nov 2020 A    | 60,000,000   | 2020/05/13 | 2020/11/13 | 15.00 |
| 27883    | Goldman Sachs SP (Asia) - Galaxy Ent European Wts Dec 2020 B | 100,000,000  | 2020/05/13 | 2020/12/01 | 15.00 |
| 27891    | Goldman Sachs SP (Asia) - Xiaomi European Wts Oct 2020 A     | 80,000,000   | 2020/05/13 | 2020/10/22 | 12.00 |
| 27738    | HK Bank - CAM CSI300 European Warrants Nov 2020 A            | 80,000,000   | 2020/05/13 | 2020/11/30 | 20.00 |
| 27736    | HK Bank - Bank of China European Warrants Dec 2020 A         | 100,000,000  | 2020/05/13 | 2020/12/23 | 15.00 |
| 27732    | HK Bank - SMIC European Warrants Nov 2020 B                  | 100,000,000  | 2020/05/13 | 2020/11/30 | 25.00 |
| 27735    | HK Bank - SUNAC European Warrants Nov 2020 A                 | 40,000,000   | 2020/05/13 | 2020/11/30 | 10.00 |
| 27843    | Haitong Int'l Sec - Ali Health European Warrants Oct 2020 A  | 60,000,000   | 2020/05/13 | 2020/10/19 | 16.20 |
| 27839    | Haitong Int'l Sec - CSOP A50 ETF European Warrants Jan2021 A | 60,000,000   | 2020/05/13 | 2021/01/21 | 12.60 |
| 27822    | Haitong Int'l Sec - HKEX European Warrants Nov 2020 A        | 70,000,000   | 2020/05/13 | 2020/11/25 | 11.20 |
| 27821    | Haitong Int'l Sec - HKEX European Warrants Dec 2020 B        | 70,000,000   | 2020/05/13 | 2020/12/23 | 10.50 |
| 27816    | Haitong Int'l Sec - HKEX European Put Warrants Nov 2020 A    | 70,000,000   | 2020/05/13 | 2020/11/25 | 10.50 |
| 27805    | Haitong Int'l Sec - Meituan European Put Warrants Sep 2020 A | 70,000,000   | 2020/05/13 | 2020/09/24 | 11.20 |
| 27788    | J P Morgan SP BV - Minsheng Bank European Wts Nov 2020 A     | 50,000,000   | 2020/05/13 | 2020/11/30 | 12.55 |
| 27790    | J P Morgan SP BV - CRRC European Warrants Sep 2022 A         | 70,000,000   | 2020/05/13 | 2022/09/08 | 10.50 |
| 27796    | J P Morgan SP BV - Meituan European Warrants Oct 2020 B      | 200,000,000  | 2020/05/13 | 2020/10/23 | 30.00 |
| 27791    | J P Morgan SP BV - Meituan European Put Warrants Sep 2020 B  | 100,000,000  | 2020/05/13 | 2020/09/23 | 15.10 |
| 27784    | Macquarie Bank Ltd. - Lenovo European Warrants Jan 2021 A    | 35,000,000   | 2020/05/13 | 2021/01/05 | 10.08 |
| 27758    | UBS AG - Anta Sports European Warrants Dec 2020 A            | 70,000,000   | 2020/05/13 | 2020/12/23 | 10.50 |
| 27777    | UBS AG - CPIC European Warrants Nov 2020 A                   | 70,000,000   | 2020/05/13 | 2020/11/25 | 10.50 |
| 27769    | UBS AG - Evergrande European Warrants Dec 2020 A             | 60,000,000   | 2020/05/13 | 2020/12/30 | 15.00 |
| 27767    | UBS AG - A50 China European Warrants Sep 2020 A              | 100,000,000  | 2020/05/13 | 2020/09/23 | 15.00 |
| 27766    | UBS AG - Geely Auto European Warrants Sep 2020 A             | 70,000,000   | 2020/05/13 | 2020/09/25 | 10.50 |
| 27781    | UBS AG - Galaxy Ent European Warrants Oct 2020 C             | 80,000,000   | 2020/05/13 | 2020/10/22 | 23.04 |
| 27773    | UBS AG - Haidilao European Warrants Nov 2020 A               | 40,000,000   | 2020/05/13 | 2020/11/16 | 14.16 |
| 27780    | UBS AG - HKEX European Warrants Aug 2020 A                   | 150,000,000  | 2020/05/13 | 2020/08/26 | 22.50 |
| 27783    | UBS AG - Xiaomi European Warrants Dec 2020 B                 | 200,000,000  | 2020/05/13 | 2020/12/23 | 30.00 |
| 27860    | Bank Vontobel - AAC Tech European Warrants May 2021 B        | 60,000,000   | 2020/05/13 | 2021/05/26 | 10.20 |

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|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 27859    | Bank Vontobel - CSPC Pharma European Warrants Sep 2020 A     | 80,000,000   | 2020/05/13 | 2020/09/23 12.00  |
| 27845    | Bank Vontobel - HKEX European Warrants Nov 2020 A            | 70,000,000   | 2020/05/13 | 2020/11/25 10.50  |
| 27876    | Bank Vontobel - HSI European Warrants Mar 2021 A             | 80,000,000   | 2020/05/13 | 2021/03/30 20.00  |
| 27882    | Bank Vontobel - HSI European Warrants Mar 2021 B             | 80,000,000   | 2020/05/13 | 2021/03/30 20.00  |
| 27866    | Bank Vontobel - HSI European Put Warrants Dec 2020 C         | 80,000,000   | 2020/05/13 | 2020/12/30 20.80  |
| 27849    | Bank Vontobel - ICBC European Warrants Oct 2020 A            | 50,000,000   | 2020/05/13 | 2020/10/23 10.00  |
| 28007    | BNP Paribas Issuance B.V. - China Life Euro Wts Mar 2021 A   | 40,000,000   | 2020/05/14 | 2021/03/02 10.40  |
| 28002    | BNP Paribas Issuance B.V. - Tencent European Wts Mar 2021 A  | 80,000,000   | 2020/05/14 | 2021/03/02 21.60  |
| 28004    | BNP Paribas Issuance B.V. - Tencent European Wts Apr 2021 B  | 80,000,000   | 2020/05/14 | 2021/04/07 20.00  |
| 28028    | Credit Suisse AG - China Tower European Warrants Oct 2020 C  | 70,000,000   | 2020/05/14 | 2020/10/23 10.50  |
| 28008    | Credit Suisse AG - Tsingtao Brew European Warrants Nov2020 A | 30,000,000   | 2020/05/14 | 2020/11/13 11.40  |
| 28082    | Citigroup Global - BYD Company European Warrants Mar 2021 A  | 100,000,000  | 2020/05/14 | 2021/03/25 15.00  |
| 28090    | Citigroup Global - HKEX European Warrants Oct 2020 B         | 100,000,000  | 2020/05/14 | 2020/10/20 15.00  |
| 28093    | Citigroup Global - HKEX European Warrants Dec 2020 B         | 100,000,000  | 2020/05/14 | 2020/12/23 15.00  |
| 28091    | Citigroup Global - PA Gooddoctor European Warrants Oct2020 A | 100,000,000  | 2020/05/14 | 2020/10/16 21.50  |
| 28098    | Citigroup Global - PA Gooddoctor European Warrants Dec2020 A | 100,000,000  | 2020/05/14 | 2020/12/22 15.60  |
| 28148    | Goldman Sachs SP (Asia) - Link REIT European Wts Dec 2021 A  | 70,000,000   | 2020/05/14 | 2021/12/23 10.50  |
| 28138    | Goldman Sachs SP (Asia) - Meituan European Warrants Oct20 B  | 80,000,000   | 2020/05/14 | 2020/10/23 12.00  |
| 28131    | Goldman Sachs SP (Asia) - SUNAC European Warrants Oct 2020 A | 60,000,000   | 2020/05/14 | 2020/10/22 11.58  |
| 28103    | Haitong Int'l Sec - AIA European Warrants Jan 2021 A         | 70,000,000   | 2020/05/14 | 2021/01/08 10.50  |
| 28109    | Haitong Int'l Sec - China Life European Warrants Oct 2020 A  | 70,000,000   | 2020/05/14 | 2020/10/16 10.50  |
| 28112    | Haitong Int'l Sec - China Life European Put Warrants Sep20 A | 70,000,000   | 2020/05/14 | 2020/09/23 10.50  |
| 28099    | Haitong Int'l Sec - HSBC European Warrants Dec 2020 B        | 60,000,000   | 2020/05/14 | 2020/12/30 15.00  |
| 28102    | Haitong Int'l Sec - Sunny Optical European Wts Nov 2020 A    | 70,000,000   | 2020/05/14 | 2020/11/23 11.20  |
| 28100    | Haitong Int'l Sec - Xiaomi European Put Warrants Aug 2020 A  | 70,000,000   | 2020/05/14 | 2020/08/28 10.50  |
| 28071    | J P Morgan SP BV - Alibaba European Warrants Aug 2020 C      | 250,000,000  | 2020/05/14 | 2020/08/31 37.75  |
| 28081    | J P Morgan SP BV - Ch Railway Cons European Wts Jun 2021 A   | 100,000,000  | 2020/05/14 | 2021/06/25 15.00  |
| 28055    | J P Morgan SP BV - Galaxy Ent European Warrants Aug 2020 A   | 70,000,000   | 2020/05/14 | 2020/08/31 10.50  |
| 28052    | J P Morgan SP BV - HKEX European Warrants Jun 2021 A         | 200,000,000  | 2020/05/14 | 2021/06/30 50.20  |
| 28056    | J P Morgan SP BV - SMIC European Wts Aug 2020 C              | 60,000,000   | 2020/05/14 | 2020/08/31 10.74  |
| 27998    | Macquarie Bank Ltd. - AIA European Warrants Dec 2020 A       | 21,000,000   | 2020/05/14 | 2020/12/02 10.04  |
| 27980    | Macquarie Bank Ltd. - Alibaba European Warrants Dec 2020 B   | 34,500,000   | 2020/05/14 | 2020/12/02 10.04  |
| 27981    | Macquarie Bank Ltd. - Alibaba European Put Wts Jan 2021 A    | 40,000,000   | 2020/05/14 | 2021/01/05 10.00  |
| 28000    | Macquarie Bank Ltd. - Meituan European Warrants Nov 2020 B   | 60,000,000   | 2020/05/14 | 2020/11/02 10.20  |
| 27983    | Macquarie Bank Ltd. - Xiaomi European Warrants Feb 2021 B    | 40,000,000   | 2020/05/14 | 2021/02/02 10.44  |
| 27995    | Macquarie Bank Ltd. - Xiaomi European Warrants Mar 2021 A    | 40,000,000   | 2020/05/14 | 2021/03/02 10.04  |
| 28044    | UBS AG - Alibaba European Put Warrants Nov 2020 A            | 200,000,000  | 2020/05/14 | 2020/11/16 30.00  |
| 28045    | UBS AG - CC Bank European Warrants Oct 2020 A                | 70,000,000   | 2020/05/14 | 2020/10/27 10.50  |
| 28033    | UBS AG - CS Services European Warrants Nov 2020 A            | 40,000,000   | 2020/05/14 | 2020/11/16 12.64  |
| 28046    | UBS AG - Meituan European Warrants Dec 2020 B                | 100,000,000  | 2020/05/14 | 2020/12/28 15.00  |
| 28034    | UBS AG - PA Gooddoctor European Warrants Nov 2020 A          | 100,000,000  | 2020/05/14 | 2020/11/23 15.00  |
| 28042    | UBS AG - SMIC European Warrants Jan 2021 A                   | 70,000,000   | 2020/05/14 | 2021/01/25 17.50  |
| 28317    | BNP Paribas Issuance B.V. - AIA European Wts Dec 2020 A      | 40,000,000   | 2020/05/15 | 2020/12/02 11.20  |
| 28278    | BNP Paribas Issuance B.V. - Alibaba European Wts Jan 2021 E  | 80,000,000   | 2020/05/15 | 2021/01/04 20.80  |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            | 集資金額       |       |
|----------|--------------------------------------------------------------|-------------|------------|------------|-------|
|          |                                                              | 發行單位        | 上市日期       | 到期日(百萬港元)  |       |
| 28298    | BNP Paribas Issuance B.V. - Alibaba European Wts May 2021 A  | 80,000,000  | 2020/05/15 | 2021/05/04 | 20.00 |
| 28314    | BNP Paribas Issuance B.V. - China Life Euro Wts May 2021 A   | 40,000,000  | 2020/05/15 | 2021/05/04 | 10.40 |
| 28154    | BNP Paribas Issuance B.V. - China Mobile Euro Wts Dec 2020 A | 40,000,000  | 2020/05/15 | 2020/12/02 | 11.60 |
| 28172    | BNP Paribas Issuance B.V. - China Mobile Euro Wts Mar 2021 A | 40,000,000  | 2020/05/15 | 2021/03/02 | 11.20 |
| 28175    | BNP Paribas Issuance B.V. - HSBC European Wts Mar 2021 A     | 40,000,000  | 2020/05/15 | 2021/03/02 | 12.00 |
| 28308    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Apr 2021 A | 80,000,000  | 2020/05/15 | 2021/04/07 | 20.00 |
| 28276    | BNP Paribas Issuance B.V. - Ping An European Wt Feb 2021 B   | 40,000,000  | 2020/05/15 | 2021/02/02 | 11.20 |
| 28313    | BNP Paribas Issuance B.V. - Sands China Euro Wt Jan 2021 A   | 40,000,000  | 2020/05/15 | 2021/01/04 | 12.00 |
| 28173    | BNP Paribas Issuance B.V. - SMIC European Wts Mar 2021 A     | 40,000,000  | 2020/05/15 | 2021/03/02 | 10.80 |
| 28409    | Credit Suisse AG - A-Living European Warrants Nov 2020 A     | 30,000,000  | 2020/05/15 | 2020/11/16 | 13.50 |
| 28412    | Credit Suisse AG - CS Services European Warrants Nov 2020 A  | 30,000,000  | 2020/05/15 | 2020/11/16 | 10.20 |
| 28422    | Credit Suisse AG - CRCC European Warrants Jun 2021 A         | 70,000,000  | 2020/05/15 | 2021/06/25 | 10.50 |
| 28424    | Credit Suisse AG - Meituan European Warrants Oct 2020 C      | 150,000,000 | 2020/05/15 | 2020/10/23 | 22.50 |
| 28435    | Credit Suisse AG - Tencent Euro Put Wts Aug 2020 B           | 200,000,000 | 2020/05/15 | 2020/08/31 | 42.00 |
| 28430    | Credit Suisse AG - Xiaomi European Put Warrants Dec 2020 C   | 100,000,000 | 2020/05/15 | 2020/12/07 | 15.00 |
| 28417    | Credit Suisse AG - Zhongsheng Hldg European Wts Nov 2020 A   | 35,000,000  | 2020/05/15 | 2020/11/16 | 10.15 |
| 28246    | Citigroup Global - BYD Company European Warrants Aug 2020 A  | 100,000,000 | 2020/05/15 | 2020/08/28 | 15.00 |
| 28450    | Citigroup Global - Meituan European Warrants Sep 2020 D      | 100,000,000 | 2020/05/15 | 2020/09/28 | 15.00 |
| 28236    | Citigroup Global - Meituan European Put Warrants Sep 2020 B  | 100,000,000 | 2020/05/15 | 2020/09/23 | 15.00 |
| 28451    | Citigroup Global - Tencent European Warrants Aug 2020 D      | 100,000,000 | 2020/05/15 | 2020/08/24 | 15.00 |
| 28244    | Citigroup Global - Tencent European Warrants Sep 2020 B      | 100,000,000 | 2020/05/15 | 2020/09/18 | 15.00 |
| 28441    | Goldman Sachs SP (Asia) - CPIC European Warrants Nov 2020 A  | 60,000,000  | 2020/05/15 | 2020/11/25 | 10.02 |
| 28437    | Goldman Sachs SP (Asia) - HKEX European Warrants Oct 2020 A  | 80,000,000  | 2020/05/15 | 2020/10/19 | 12.00 |
| 28443    | Goldman Sachs SP (Asia) - Tencent European Wts Aug 2020 I    | 150,000,000 | 2020/05/15 | 2020/08/17 | 22.50 |
| 28379    | Haitong Int'l Sec - Conch Cement European Warrants Sep2020 A | 70,000,000  | 2020/05/15 | 2020/09/02 | 11.20 |
| 28377    | Haitong Int'l Sec - Bank of China European Warrants Jan21 A  | 70,000,000  | 2020/05/15 | 2021/01/29 | 14.00 |
| 28352    | Haitong Int'l Sec - CITIC Sec European Warrants Apr 2021 A   | 70,000,000  | 2020/05/15 | 2021/04/01 | 13.30 |
| 28382    | Haitong Int'l Sec - CKH Holdings European Warrants Sep2020 A | 70,000,000  | 2020/05/15 | 2020/09/16 | 30.10 |
| 28356    | Haitong Int'l Sec - CM Bank European Warrants Nov 2020 A     | 70,000,000  | 2020/05/15 | 2020/11/24 | 18.90 |
| 28319    | Haitong Int'l Sec - Henderson Land Dev European Wts Mar21 A  | 70,000,000  | 2020/05/15 | 2021/03/31 | 25.20 |
| 28335    | Haitong Int'l Sec - PA Gooddoctor European Warrants Oct20 B  | 70,000,000  | 2020/05/15 | 2020/10/19 | 18.20 |
| 28387    | Haitong Int'l Sec - PetroChina European Warrants Sep 2020 A  | 70,000,000  | 2020/05/15 | 2020/09/23 | 14.00 |
| 28353    | Haitong Int'l Sec - ZA Online European Warrants Sep 2020 A   | 70,000,000  | 2020/05/15 | 2020/09/25 | 17.50 |
| 28389    | Haitong Int'l Sec - ZTE European Warrants Sep 2020 B         | 70,000,000  | 2020/05/15 | 2020/09/29 | 17.50 |
| 28229    | J P Morgan SP BV - Tencent European Warrants Dec 2020 A      | 250,000,000 | 2020/05/15 | 2020/12/18 | 43.25 |
| 28233    | J P Morgan SP BV - WH Group European Warrants Nov 2020 A     | 70,000,000  | 2020/05/15 | 2020/11/23 | 10.57 |
| 28230    | J P Morgan SP BV - Xiaomi European Put Warrants Dec 2020 B   | 200,000,000 | 2020/05/15 | 2020/12/07 | 30.00 |
| 28196    | Macquarie Bank Ltd. - Li Ning European Warrants Feb 2021 A   | 32,000,000  | 2020/05/15 | 2021/02/16 | 10.02 |
| 28181    | Macquarie Bank Ltd. - SMIC European Warrants Feb 2021 A      | 38,000,000  | 2020/05/15 | 2021/02/16 | 10.03 |
| 28178    | Macquarie Bank Ltd. - Stanchart European Warrants Dec 2020 A | 20,000,000  | 2020/05/15 | 2020/12/02 | 10.00 |
| 28211    | SG Issuer - Alibaba European Put Warrants Sep 2020 E         | 150,000,000 | 2020/05/15 | 2020/09/28 | 22.50 |
| 28217    | SG Issuer - Meituan European Warrants Dec 2020 D             | 100,000,000 | 2020/05/15 | 2020/12/28 | 15.00 |
| 28215    | SG Issuer - Meituan European Put Warrants Sep 2020 B         | 100,000,000 | 2020/05/15 | 2020/09/23 | 15.00 |
| 28218    | SG Issuer - Xiaomi European Put Warrants Dec 2020 B          | 100,000,000 | 2020/05/15 | 2020/12/07 | 15.00 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            | 集資金額       |        |
|----------|--------------------------------------------------------------|-------------|------------|------------|--------|
|          |                                                              | 發行單位        | 上市日期       | 到期日(百萬港元)  |        |
| 28247    | UBS AG - AAC Tech European Warrants Apr 2021 A               | 100,000,000 | 2020/05/15 | 2021/04/23 | 15.00  |
| 28268    | UBS AG - China Tower European Warrants Oct 2020 A            | 70,000,000  | 2020/05/15 | 2020/10/22 | 10.50  |
| 28269    | UBS AG - Xiaomi European Put Warrants Nov 2020 A             | 100,000,000 | 2020/05/15 | 2020/11/30 | 25.00  |
| 28767    | BOCI Asia Ltd. - Anta Sports European Warrants Dec 2020 A    | 70,000,000  | 2020/05/18 | 2020/12/31 | 10.50  |
| 28484    | BOCI Asia Ltd. - Tencent European Warrants Sep 2020 F        | 200,000,000 | 2020/05/18 | 2020/09/01 | 30.00  |
| 28540    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Jan 2021 C | 70,000,000  | 2020/05/18 | 2021/01/05 | 10.50  |
| 28760    | Credit Suisse AG - Galaxy Ent European Put Wts Dec 2020 A    | 100,000,000 | 2020/05/18 | 2020/12/03 | 15.00  |
| 28761    | Credit Suisse AG - Li Ning European Warrants Nov 2020 A      | 50,000,000  | 2020/05/18 | 2020/11/17 | 13.50  |
| 28749    | Credit Suisse AG - Meituan European Warrants Dec 2020 C      | 150,000,000 | 2020/05/18 | 2020/12/28 | 22.50  |
| 28739    | Credit Suisse AG - Tencent Euro Put Wts Aug 2020 C           | 200,000,000 | 2020/05/18 | 2020/08/31 | 30.00  |
| 28661    | Citigroup Global - Galaxy Ent European Warrants Aug 2020 A   | 100,000,000 | 2020/05/18 | 2020/08/24 | 18.30  |
| 28653    | Citigroup Global - Sunac European Warrants Sep 2020 B        | 100,000,000 | 2020/05/18 | 2020/09/23 | 18.20  |
| 28667    | Citigroup Global - Sunny Optical European Warrants Sep 2020B | 100,000,000 | 2020/05/18 | 2020/09/23 | 15.00  |
| 28649    | Citigroup Global - Xiaomi European Warrants Sep 2020 D       | 100,000,000 | 2020/05/18 | 2020/09/23 | 15.00  |
| 28516    | Guotai Junan - HKEX European Warrants Sep 2020 A             | 100,000,000 | 2020/05/18 | 2020/09/30 | 16.40  |
| 28524    | Guotai Junan - Tencent European Warrants Dec 2020 A          | 100,000,000 | 2020/05/18 | 2020/12/04 | 17.70  |
| 28833    | Goldman Sachs SP (Asia) - Ping An European Wts Sep 2020 C    | 100,000,000 | 2020/05/18 | 2020/09/25 | 15.00  |
| 28840    | Goldman Sachs SP (Asia) - Tencent European Wts Sep 2020 F    | 150,000,000 | 2020/05/18 | 2020/09/24 | 22.50  |
| 28835    | Goldman Sachs SP (Asia) - Xiaomi European Wts Sep 2020 F     | 80,000,000  | 2020/05/18 | 2020/09/23 | 12.00  |
| 28467    | HK Bank - AAC Tech European Warrants Sep 2021 A              | 100,000,000 | 2020/05/18 | 2021/09/27 | 15.00  |
| 28469    | HK Bank - HSI European Put Warrants Oct 2020 B               | 200,000,000 | 2020/05/18 | 2020/10/29 | 40.00  |
| 28539    | HK Bank - Tencent European Warrants Nov 2020 A               | 100,000,000 | 2020/05/18 | 2020/11/30 | 25.00  |
| 28455    | HK Bank - Tencent European Put Warrants Nov 2020 B           | 100,000,000 | 2020/05/18 | 2020/11/30 | 25.00  |
| 28793    | Haitong Int'l Sec - BYD Company European Warrants Jan 2021 A | 150,000,000 | 2020/05/18 | 2021/01/26 | 22.50  |
| 28809    | Haitong Int'l Sec - China Lit European Warrants Nov 2020 A   | 50,000,000  | 2020/05/18 | 2020/11/03 | 23.50  |
| 28813    | Haitong Int'l Sec - CNBM European Warrants Sep 2020 A        | 70,000,000  | 2020/05/18 | 2020/09/25 | 10.50  |
| 28814    | Haitong Int'l Sec - Galaxy Ent European Warrants Sep 2020 A  | 100,000,000 | 2020/05/18 | 2020/09/07 | 30.00  |
| 28779    | Haitong Int'l Sec - ICBC European Warrants Sep 2020 A        | 100,000,000 | 2020/05/18 | 2020/09/23 | 27.00  |
| 28770    | Haitong Int'l Sec - Kingsoft European Warrants Aug 2020 A    | 700,000,000 | 2020/05/18 | 2020/08/20 | 175.00 |
| 28781    | Haitong Int'l Sec - Sino Biopharm European Wts Dec 2020 A    | 100,000,000 | 2020/05/18 | 2020/12/18 | 22.00  |
| 28726    | J P Morgan SP BV - Alibaba European Put Warrants Sep 2020 C  | 200,000,000 | 2020/05/18 | 2020/09/30 | 30.00  |
| 28710    | J P Morgan SP BV - Geely Auto European Warrants Jan 2021 A   | 60,000,000  | 2020/05/18 | 2021/01/29 | 15.06  |
| 28696    | J P Morgan SP BV - HSI European Put Warrants Nov 2020 B      | 400,000,000 | 2020/05/18 | 2020/11/27 | 100.40 |
| 28721    | J P Morgan SP BV - Li Ning European Warrants Aug 2020 A      | 60,000,000  | 2020/05/18 | 2020/08/25 | 10.02  |
| 28725    | J P Morgan SP BV - Tencent European Warrants Feb 2022 A      | 250,000,000 | 2020/05/18 | 2022/02/22 | 53.75  |
| 28670    | J P Morgan SP BV - Tencent European Put Warrants Nov 2020 A  | 250,000,000 | 2020/05/18 | 2020/11/17 | 63.25  |
| 28691    | J P Morgan SP BV - Xiaomi European Put Warrants Dec 2020 C   | 100,000,000 | 2020/05/18 | 2020/12/03 | 25.20  |
| 28489    | Macquarie Bank Ltd. - CKH Holdings European Wts Feb 2021 A   | 33,400,000  | 2020/05/18 | 2021/02/02 | 10.02  |
| 28495    | Macquarie Bank Ltd. - Koolearn European Warrants Mar 2021 A  | 9,500,000   | 2020/05/18 | 2021/03/12 | 10.05  |
| 28470    | Morgan Stanley Asia Products Ltd. - Galaxy Eu Put Wt Nov 20A | 68,000,000  | 2020/05/18 | 2020/11/23 | 10.20  |
| 28912    | SG Issuer - Tencent European Warrants Sep 2020 F             | 200,000,000 | 2020/05/18 | 2020/09/23 | 30.00  |
| 28904    | SG Issuer - Tencent European Put Warrants Sep 2020 F         | 100,000,000 | 2020/05/18 | 2020/09/18 | 18.50  |
| 28924    | SG Issuer - Tencent European Put Warrants Oct 2020 A         | 100,000,000 | 2020/05/18 | 2020/10/22 | 15.00  |
| 28556    | UBS AG - A50 China European Warrants Nov 2020 A              | 100,000,000 | 2020/05/18 | 2020/11/23 | 15.00  |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            | 集資金額       |       |
|----------|--------------------------------------------------------------|-------------|------------|------------|-------|
|          |                                                              | 發行單位        | 上市日期       | 到期日(百萬港元)  |       |
| 28603    | UBS AG - Galaxy Ent European Put Warrants Dec 2020 A         | 100,000,000 | 2020/05/18 | 2020/12/03 | 15.00 |
| 28553    | UBS AG - Ping An European Warrants Sep 2020 C                | 100,000,000 | 2020/05/18 | 2020/09/25 | 15.00 |
| 28587    | UBS AG - Tencent European Put Warrants Aug 2020 B            | 300,000,000 | 2020/05/18 | 2020/08/24 | 45.00 |
| 28602    | UBS AG - Tencent European Put Warrants Aug 2020 C            | 300,000,000 | 2020/05/18 | 2020/08/24 | 45.00 |
| 28550    | UBS AG - Tencent European Put Warrants Nov 2020 A            | 300,000,000 | 2020/05/18 | 2020/11/23 | 45.00 |
| 28596    | UBS AG - Xiaomi European Put Warrants Dec 2020 B             | 200,000,000 | 2020/05/18 | 2020/12/07 | 30.00 |
| 28900    | Bank Vontobel - Bud Apac European Warrants Dec 2020 A        | 40,000,000  | 2020/05/18 | 2020/12/01 | 10.00 |
| 28860    | Bank Vontobel - CK Asset European Warrants Dec 2020 A        | 40,000,000  | 2020/05/18 | 2020/12/03 | 10.00 |
| 28890    | Bank Vontobel - Sinopec Corp European Warrants Feb 2021 A    | 40,000,000  | 2020/05/18 | 2021/02/11 | 10.00 |
| 28868    | Bank Vontobel - Galaxy Ent European Warrants Feb 2021 A      | 30,000,000  | 2020/05/18 | 2021/02/19 | 14.40 |
| 28862    | Bank Vontobel - NCI European Warrants Mar 2021 A             | 40,000,000  | 2020/05/18 | 2021/03/12 | 10.00 |
| 28848    | Bank Vontobel - Tencent European Put Warrants Nov 2020 A     | 80,000,000  | 2020/05/18 | 2020/11/17 | 24.00 |
| 23077#   | Haitong Int'l Sec - SHK Ppt European Warrants Aug 2020 A     | 304,000,000 | 2020/05/18 | 2020/08/06 | 10.03 |
| 29099    | BNP Paribas Issuance B.V. - Galaxy Ent Euro Wts Dec 2020 A   | 40,000,000  | 2020/05/19 | 2020/12/02 | 10.00 |
| 28988    | BNP Paribas Issuance B.V. - HSI European Wts Dec 2020 A      | 70,000,000  | 2020/05/19 | 2020/12/30 | 14.00 |
| 28991    | BNP Paribas Issuance B.V. - HSI Euro Put Wts Sep 2020 C      | 70,000,000  | 2020/05/19 | 2020/09/29 | 14.00 |
| 28973    | BNP Paribas Issuance B.V. - Tencent European Wts Feb 2021 A  | 80,000,000  | 2020/05/19 | 2021/02/02 | 21.60 |
| 28965    | BNP Paribas Issuance B.V. - Tencent European Wts May 2021 A  | 80,000,000  | 2020/05/19 | 2021/05/04 | 20.80 |
| 29153    | Credit Suisse AG - China Ovs Ppt European Warrants Nov2020 A | 50,000,000  | 2020/05/19 | 2020/11/18 | 12.50 |
| 29128    | Credit Suisse AG - Geely Auto European Warrants Sep 2020 A   | 70,000,000  | 2020/05/19 | 2020/09/25 | 10.50 |
| 29144    | Credit Suisse AG - Galaxy Ent European Warrants Nov 2020 A   | 40,000,000  | 2020/05/19 | 2020/11/18 | 15.20 |
| 28950    | Credit Suisse AG - HSBC European Wts Oct 2020 B              | 100,000,000 | 2020/05/19 | 2020/10/14 | 15.00 |
| 28927    | Credit Suisse AG - HSBC European Wts Dec 2020 A              | 100,000,000 | 2020/05/19 | 2020/12/23 | 15.00 |
| 29110    | Credit Suisse AG - SHK Ppt European Warrants Apr 2021 A      | 80,000,000  | 2020/05/19 | 2021/04/30 | 20.00 |
| 29101    | Credit Suisse AG - Tencent European Wts Aug 2020 D           | 250,000,000 | 2020/05/19 | 2020/08/31 | 37.50 |
| 29167    | Credit Suisse AG - Xiaomi European Warrants Apr 2021 A       | 200,000,000 | 2020/05/19 | 2021/04/23 | 30.00 |
| 29168    | Credit Suisse AG - Xiaomi European Warrants Sep 2021 A       | 200,000,000 | 2020/05/19 | 2021/09/27 | 30.00 |
| 29139    | Credit Suisse AG - ZA Online European Warrants Nov 2020 A    | 40,000,000  | 2020/05/19 | 2020/11/18 | 12.00 |
| 29237    | Citigroup Global - Alibaba Group Euro Warrants Oct 2020 C    | 100,000,000 | 2020/05/19 | 2020/10/06 | 15.00 |
| 29085    | Citigroup Global - Longfor Group European Warrants Sep2020 A | 100,000,000 | 2020/05/19 | 2020/09/18 | 21.70 |
| 29075    | Citigroup Global - Longfor Group European Warrants Nov2020 A | 100,000,000 | 2020/05/19 | 2020/11/19 | 25.00 |
| 29071    | Citigroup Global - Meituan European Warrants Oct 2020 C      | 100,000,000 | 2020/05/19 | 2020/10/23 | 16.80 |
| 29087    | Citigroup Global - Tencent European Put Warrants Aug 2020 B  | 100,000,000 | 2020/05/19 | 2020/08/24 | 17.30 |
| 29280    | Goldman Sachs SP (Asia) - HKEX European Warrants Dec 2020 B  | 150,000,000 | 2020/05/19 | 2020/12/23 | 22.50 |
| 29241    | Goldman Sachs SP (Asia) - Kingsoft European Wts Nov 2020 A   | 60,000,000  | 2020/05/19 | 2020/11/30 | 15.00 |
| 29283    | Goldman Sachs SP (Asia) - Meituan Euro Put Wts Sep 2020 B    | 80,000,000  | 2020/05/19 | 2020/09/23 | 12.00 |
| 29025    | HK Bank - CSOP A50 ETF European Warrants Jan 2021 A          | 100,000,000 | 2020/05/19 | 2021/01/11 | 15.00 |
| 29065    | HK Bank - A50 China European Warrants Mar 2021 B             | 100,000,000 | 2020/05/19 | 2021/03/01 | 25.00 |
| 29016    | HK Bank - Tencent European Put Warrants Oct 2020 B           | 100,000,000 | 2020/05/19 | 2020/10/23 | 15.00 |
| 29201    | Haitong Int'l Sec - Meituan European Warrants Sep 2020 B     | 100,000,000 | 2020/05/19 | 2020/09/24 | 15.00 |
| 29214    | Haitong Int'l Sec - Meituan European Warrants Dec 2020 C     | 100,000,000 | 2020/05/19 | 2020/12/28 | 16.00 |
| 29203    | Haitong Int'l Sec - SMIC European Warrants Aug 2020 A        | 100,000,000 | 2020/05/19 | 2020/08/25 | 19.00 |
| 29232    | Haitong Int'l Sec - Tencent European Warrants Sep 2020 C     | 100,000,000 | 2020/05/19 | 2020/09/24 | 16.00 |
| 29226    | Haitong Int'l Sec - Tencent European Warrants Nov 2020 A     | 100,000,000 | 2020/05/19 | 2020/11/23 | 15.00 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            | 集資金額       |       |
|----------|--------------------------------------------------------------|-------------|------------|------------|-------|
|          |                                                              | 發行單位        | 上市日期       | 到期日(百萬港元)  |       |
| 29210    | Haitong Int'l Sec - Xiaomi European Warrants Sep 2020 B      | 100,000,000 | 2020/05/19 | 2020/09/24 | 15.00 |
| 29212    | Haitong Int'l Sec - Xiaomi European Warrants Dec 2020 B      | 100,000,000 | 2020/05/19 | 2020/12/28 | 17.00 |
| 29205    | Haitong Int'l Sec - Xiaomi European Put Warrants Dec 2020 A  | 100,000,000 | 2020/05/19 | 2020/12/07 | 15.00 |
| 29066    | J P Morgan SP BV - Alibaba European Warrants Sep 2021 A      | 200,000,000 | 2020/05/19 | 2021/09/30 | 50.00 |
| 29069    | J P Morgan SP BV - Tencent European Warrants Aug 2020 G      | 250,000,000 | 2020/05/19 | 2020/08/24 | 37.50 |
| 28992    | Macquarie Bank Ltd. - SHK Ppt European Warrants Dec 2020 A   | 25,500,000  | 2020/05/19 | 2020/12/02 | 10.10 |
| 29059    | Macquarie Bank Ltd. - Sunny Optical European Wts Jul 2021 A  | 23,000,000  | 2020/05/19 | 2021/07/05 | 10.10 |
| 28994    | Macquarie Bank Ltd. - Tencent European Warrants Dec 2020 B   | 31,000,000  | 2020/05/19 | 2020/12/01 | 10.08 |
| 29004    | Macquarie Bank Ltd. - Tencent European Warrants Dec 2020 C   | 25,000,000  | 2020/05/19 | 2020/12/01 | 15.95 |
| 29010    | Macquarie Bank Ltd. - Tencent European Warrants Dec 2020 D   | 25,000,000  | 2020/05/19 | 2020/12/01 | 29.20 |
| 29014    | Macquarie Bank Ltd. - Tencent European Put Wts Dec 2020 A    | 25,000,000  | 2020/05/19 | 2020/12/01 | 19.95 |
| 29239    | Morgan Stanley Asia Products Ltd. - China Life Eu Wts Dec20D | 68,000,000  | 2020/05/19 | 2020/12/30 | 10.20 |
| 29238    | Morgan Stanley Asia Products Ltd. - Tencent Eu Put Wt Oct20A | 68,000,000  | 2020/05/19 | 2020/10/22 | 10.20 |
| 29171    | SG Issuer - Sunny Optical European Warrants Nov 2020 A       | 60,000,000  | 2020/05/19 | 2020/11/30 | 15.30 |
| 29191    | SG Issuer - Tencent European Warrants Nov 2020 B             | 200,000,000 | 2020/05/19 | 2020/11/23 | 30.00 |
| 29192    | SG Issuer - Tencent European Warrants Nov 2020 C             | 100,000,000 | 2020/05/19 | 2020/11/30 | 25.00 |
| 29197    | SG Issuer - Tencent European Warrants Aug 2022 A             | 200,000,000 | 2020/05/19 | 2022/08/25 | 32.00 |
| 29181    | SG Issuer - Tencent European Put Warrants Nov 2020 A         | 100,000,000 | 2020/05/19 | 2020/11/18 | 28.00 |
| 29030    | UBS AG - Li Ning European Warrants Nov 2020 A                | 70,000,000  | 2020/05/19 | 2020/11/30 | 17.50 |
| 29035    | UBS AG - Mengniu Dairy European Warrants Sep 2020 A          | 70,000,000  | 2020/05/19 | 2020/09/25 | 10.50 |
| 29057    | UBS AG - Sands China Ltd European Put Warrants Dec 2020 A    | 70,000,000  | 2020/05/19 | 2020/12/14 | 17.50 |
| 29053    | UBS AG - Tencent European Warrants Oct 2020 A                | 30,000,000  | 2020/05/19 | 2020/10/23 | 13.44 |
| 29041    | UBS AG - Tencent European Put Warrants Nov 2020 B            | 300,000,000 | 2020/05/19 | 2020/11/18 | 45.00 |
| 29043    | UBS AG - Tencent European Put Warrants Nov 2020 C            | 300,000,000 | 2020/05/19 | 2020/11/18 | 75.00 |
| 29490    | BOCI Asia Ltd. - CM Bank European Warrants Nov 2020 A        | 60,000,000  | 2020/05/20 | 2020/11/30 | 10.20 |
| 29286    | BOCI Asia Ltd. - Tencent European Warrants Nov 2020 A        | 200,000,000 | 2020/05/20 | 2020/11/30 | 30.00 |
| 29593    | BNP Paribas Issuance B.V. - AIA European Wts Jan 2021 B      | 40,000,000  | 2020/05/20 | 2021/01/05 | 16.00 |
| 29592    | BNP Paribas Issuance B.V. - HSBC European Wts Feb 2021 A     | 60,000,000  | 2020/05/20 | 2021/02/02 | 12.60 |
| 29569    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Feb 2021 A | 80,000,000  | 2020/05/20 | 2021/02/02 | 20.80 |
| 29581    | BNP Paribas Issuance B.V. - Xiaomi Euro Warrants Feb 2021 B  | 60,000,000  | 2020/05/20 | 2021/02/02 | 16.80 |
| 29604    | Credit Suisse AG - Meituan European Put Warrants Nov 2020 A  | 100,000,000 | 2020/05/20 | 2020/11/19 | 25.00 |
| 29623    | Credit Suisse AG - Tencent European Wts Nov 2020 B           | 250,000,000 | 2020/05/20 | 2020/11/19 | 62.50 |
| 29620    | Credit Suisse AG - Tencent Euro Put Wts Nov 2020 A           | 200,000,000 | 2020/05/20 | 2020/11/19 | 50.00 |
| 29353    | Citigroup Global - Alibaba European Put Warrants Sep 2020 A  | 100,000,000 | 2020/05/20 | 2020/09/08 | 16.30 |
| 29331    | Citigroup Global - Galaxy Ent European Put Warrants Dec 20 A | 100,000,000 | 2020/05/20 | 2020/12/03 | 15.00 |
| 29310    | Citigroup Global - Meituan European Put Warrants Nov 2020 A  | 100,000,000 | 2020/05/20 | 2020/11/20 | 25.00 |
| 29356    | Citigroup Global - Meituan European Put Warrants Nov 2020 B  | 100,000,000 | 2020/05/20 | 2020/11/20 | 25.00 |
| 29351    | Citigroup Global - Tencent European Put Warrants Nov 2020 A  | 100,000,000 | 2020/05/20 | 2020/11/20 | 33.50 |
| 29682    | Goldman Sachs SP (Asia) - Alibaba European Wts Oct 2020 D    | 150,000,000 | 2020/05/20 | 2020/10/20 | 22.50 |
| 29698    | Goldman Sachs SP (Asia) - Meituan European Warrants Dec 20 C | 80,000,000  | 2020/05/20 | 2020/12/28 | 12.00 |
| 29696    | Goldman Sachs SP (Asia) - Tencent European Wts Nov 2020 A    | 150,000,000 | 2020/05/20 | 2020/11/23 | 22.50 |
| 29505    | HK Bank - Meituan Dianping European Put Warrants Jun 2021 A  | 100,000,000 | 2020/05/20 | 2021/06/30 | 25.00 |
| 29659    | Haitong Int'l Sec - Anta Sports European Warrants Dec 2020 A | 100,000,000 | 2020/05/20 | 2020/12/23 | 21.00 |
| 29658    | Haitong Int'l Sec - China Tower European Warrants Oct 2020 B | 80,000,000  | 2020/05/20 | 2020/10/23 | 12.80 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                           | 上市時之<br>發行單位 | 上市日期       | 到期日(百萬港元)  | 集資金額  |
|----------|----------------------------------------------------------------|--------------|------------|------------|-------|
| 29655    | Haitong Int'l Sec - China Feihe European Warrants Nov 2020 A   | 50,000,000   | 2020/05/20 | 2020/11/19 | 12.50 |
| 29651    | Haitong Int'l Sec - Galaxy Ent European Warrants Nov 2020 A    | 100,000,000  | 2020/05/20 | 2020/11/25 | 43.00 |
| 29657    | Haitong Int'l Sec - Haidilao European Warrants Nov 2020 A      | 50,000,000   | 2020/05/20 | 2020/11/16 | 18.50 |
| 29647    | Haitong Int'l Sec - Li Ning European Warrants Nov 2020 A       | 100,000,000  | 2020/05/20 | 2020/11/24 | 29.00 |
| 29601    | J P Morgan SP BV - Meituan European Warrants Dec 2020 C        | 150,000,000  | 2020/05/20 | 2020/12/28 | 22.65 |
| 29594    | J P Morgan SP BV - Meituan European Put Warrants Nov 2020 B    | 100,000,000  | 2020/05/20 | 2020/11/19 | 25.00 |
| 29596    | J P Morgan SP BV - Meituan European Put Warrants Jun 2021 A    | 200,000,000  | 2020/05/20 | 2021/06/30 | 50.20 |
| 29599    | J P Morgan SP BV - Tencent European Put Warrants Nov 2020 B    | 250,000,000  | 2020/05/20 | 2020/11/30 | 80.00 |
| 29498    | Macquarie Bank Ltd. - Link REIT European Warrants Jan 2021 A   | 37,500,000   | 2020/05/20 | 2021/01/05 | 10.09 |
| 29513    | Macquarie Bank Ltd. - Meituan European Warrants Dec 2020 B     | 40,000,000   | 2020/05/20 | 2020/12/02 | 10.20 |
| 29381    | Morgan Stanley Asia Products Ltd. - Conch Cement Eu Wt Nov20A  | 35,000,000   | 2020/05/20 | 2020/11/20 | 10.99 |
| 29368    | Morgan Stanley Asia Products Ltd. - Alibaba Euro Wts Oct20 E   | 80,000,000   | 2020/05/20 | 2020/10/05 | 14.88 |
| 29382    | Morgan Stanley Asia Products Ltd. - Ali Health Eu Wt Nov20A    | 30,000,000   | 2020/05/20 | 2020/11/09 | 10.80 |
| 29387    | Morgan Stanley Asia Products Ltd. - Ali Health Eu Wt Nov20B    | 40,000,000   | 2020/05/20 | 2020/11/20 | 10.00 |
| 29398    | Morgan Stanley Asia Products Ltd. - Geely Auto Eu Wt Oct20 A   | 68,000,000   | 2020/05/20 | 2020/10/05 | 10.27 |
| 29405    | Morgan Stanley Asia Products Ltd. - HKEX European Wts Jan21A   | 98,000,000   | 2020/05/20 | 2021/01/04 | 14.70 |
| 29414    | Morgan Stanley Asia Products Ltd. - HKEX European Wts Jan21B   | 98,000,000   | 2020/05/20 | 2021/01/11 | 24.50 |
| 29417    | Morgan Stanley Asia Products Ltd. - HSBC European Wts Dec20B   | 68,000,000   | 2020/05/20 | 2020/12/22 | 12.78 |
| 29401    | Morgan Stanley Asia Products Ltd. - HSI European Wts Dec20 A   | 150,000,000  | 2020/05/20 | 2020/12/30 | 24.15 |
| 29644    | Morgan Stanley Asia Products Ltd - Jiangxi Copper Eu Wt Nov20A | 40,000,000   | 2020/05/20 | 2020/11/20 | 10.00 |
| 29377    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Nov20 B   | 68,000,000   | 2020/05/20 | 2020/11/20 | 17.88 |
| 29426    | Morgan Stanley Asia Products Ltd. - PA Gooddoctor Eu Wt Nov20A | 40,000,000   | 2020/05/20 | 2020/11/20 | 12.40 |
| 29453    | Morgan Stanley Asia Products Ltd. - PA Gooddoctor Eu Wt Dec20A | 50,000,000   | 2020/05/20 | 2020/12/10 | 14.95 |
| 29404    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Oct20 B   | 80,000,000   | 2020/05/20 | 2020/10/19 | 28.64 |
| 29373    | Morgan Stanley Asia Products Ltd. - Xiaomi Euro Wts Nov20 B    | 68,000,000   | 2020/05/20 | 2020/11/02 | 15.84 |
| 29372    | Morgan Stanley Asia Products Ltd. - Xiaomi Euro Wts Dec20 D    | 68,000,000   | 2020/05/20 | 2020/12/14 | 17.00 |
| 29376    | Morgan Stanley Asia Products Ltd. - ZA Online Euro Wts Oct20B  | 68,000,000   | 2020/05/20 | 2020/10/05 | 10.20 |
| 29431    | Morgan Stanley Asia Products Ltd. - Zijin Mining Eu Wt Nov20A  | 40,000,000   | 2020/05/20 | 2020/11/09 | 12.80 |
| 29488    | Morgan Stanley Asia Products Ltd. - Zijin Mining Eu Wt Nov20B  | 60,000,000   | 2020/05/20 | 2020/11/02 | 10.80 |
| 29663    | SG Issuer - Ali Health European Warrants Oct 2020 B            | 40,000,000   | 2020/05/20 | 2020/10/20 | 13.00 |
| 29672    | SG Issuer - Meituan European Warrants Sep 2020 C               | 100,000,000  | 2020/05/20 | 2020/09/24 | 15.00 |
| 29540    | UBS AG - HSI European Warrants Dec 2020 B                      | 300,000,000  | 2020/05/20 | 2020/12/30 | 45.00 |
| 29531    | UBS AG - Meituan European Put Warrants Nov 2020 A              | 100,000,000  | 2020/05/20 | 2020/11/19 | 25.00 |
| 29568    | UBS AG - Tencent European Warrants Aug 2020 C                  | 300,000,000  | 2020/05/20 | 2020/08/24 | 45.00 |
| 29543    | UBS AG - Xiaomi European Warrants Sep 2020 D                   | 100,000,000  | 2020/05/20 | 2020/09/23 | 15.00 |
| 29633    | Bank Vontobel - China Comm Cons European Warrants Jan 2021 A   | 30,000,000   | 2020/05/20 | 2021/01/25 | 10.80 |
| 29636    | Bank Vontobel - Evergrande European Warrants Mar 2021 A        | 40,000,000   | 2020/05/20 | 2021/03/29 | 10.00 |
| 29639    | Bank Vontobel - PetroChina European Warrants Sep 2020 B        | 70,000,000   | 2020/05/20 | 2020/09/28 | 10.50 |
| 29770    | BOCI Asia Ltd. - Meituan European Warrants Sep 2020 D          | 100,000,000  | 2020/05/21 | 2020/09/30 | 15.00 |
| 29774    | BOCI Asia Ltd. - Meituan European Put Warrants Nov 2020 A      | 100,000,000  | 2020/05/21 | 2020/11/30 | 25.00 |
| 29904    | BNP Paribas Issuance B.V. - SMIC European Wts Mar 2021 B       | 40,000,000   | 2020/05/21 | 2021/03/02 | 10.40 |
| 29887    | BNP Paribas Issuance B.V. - Tencent European Wts Feb 2021 B    | 80,000,000   | 2020/05/21 | 2021/02/02 | 20.00 |
| 29911    | BNP Paribas Issuance B.V. - Tencent European Wts Mar 2021 B    | 80,000,000   | 2020/05/21 | 2021/03/02 | 20.00 |
| 11039    | Credit Suisse AG - AIA European Warrants Sep 2020 D            | 70,000,000   | 2020/05/21 | 2020/09/23 | 25.90 |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 11037    | Credit Suisse AG - China Mobile European Warrants Sep 2020 C | 70,000,000   | 2020/05/21 | 2020/09/23 10.50  |
| 11038    | Credit Suisse AG - HSBC European Wts Sep 2020 E              | 100,000,000  | 2020/05/21 | 2020/09/29 17.00  |
| 11026    | Credit Suisse AG - Meituan European Warrants Dec 2020 D      | 150,000,000  | 2020/05/21 | 2020/12/23 22.50  |
| 11023    | Credit Suisse AG - Meituan European Put Warrants Apr 2021 A  | 100,000,000  | 2020/05/21 | 2021/04/30 25.00  |
| 11040    | Credit Suisse AG - SHK Ppt European Put Warrants May 2021 A  | 80,000,000   | 2020/05/21 | 2021/05/31 20.00  |
| 11029    | Credit Suisse AG - SMIC European Warrants Nov 2020 A         | 100,000,000  | 2020/05/21 | 2020/11/20 25.00  |
| 11003    | Citigroup Global - HSBC European Warrants Sep 2020 B         | 100,000,000  | 2020/05/21 | 2020/09/29 16.60  |
| 11017    | Citigroup Global - HSBC European Warrants Sep 2020 C         | 100,000,000  | 2020/05/21 | 2020/09/28 15.20  |
| 11022    | Citigroup Global - Meituan European Warrants Sep 2020 E      | 100,000,000  | 2020/05/21 | 2020/09/24 15.30  |
| 11005    | Citigroup Global - Meituan European Warrants Nov 2020 A      | 100,000,000  | 2020/05/21 | 2020/11/23 25.00  |
| 29956    | Citigroup Global - Meituan European Warrants Dec 2020 B      | 100,000,000  | 2020/05/21 | 2020/12/31 15.00  |
| 29703    | Guotai Junan - Meituan European Warrants Dec 2020 A          | 100,000,000  | 2020/05/21 | 2020/12/24 15.00  |
| 11056    | Goldman Sachs SP (Asia) - China Mobile Euro Wts Sep 2020 C   | 80,000,000   | 2020/05/21 | 2020/09/24 12.00  |
| 11053    | Goldman Sachs SP (Asia) - Tencent European Wts Aug 2020 J    | 150,000,000  | 2020/05/21 | 2020/08/24 22.50  |
| 11048    | Goldman Sachs SP (Asia) - Tencent European Put Wt Nov 2020 A | 100,000,000  | 2020/05/21 | 2020/11/23 25.00  |
| 29762    | HK Bank - Ali Health European Warrants Nov 2020 A            | 40,000,000   | 2020/05/21 | 2020/11/30 14.00  |
| 29760    | HK Bank - Meituan European Warrants Dec 2020 B               | 100,000,000  | 2020/05/21 | 2020/12/31 25.00  |
| 29761    | HK Bank - Meituan European Warrants Dec 2020 C               | 100,000,000  | 2020/05/21 | 2020/12/23 15.00  |
| 29934    | Haitong Int'l Sec - CNOOC European Put Warrants Sep 2020 A   | 100,000,000  | 2020/05/21 | 2020/09/22 15.00  |
| 29920    | Haitong Int'l Sec - Meituan European Put Warrants Nov 2020 A | 100,000,000  | 2020/05/21 | 2020/11/20 25.00  |
| 29917    | Haitong Int'l Sec - Ping An European Put Warrants Sep 2020 A | 100,000,000  | 2020/05/21 | 2020/09/24 40.00  |
| 29938    | Haitong Int'l Sec - Sands China European Put Wts Sep 2020 A  | 100,000,000  | 2020/05/21 | 2020/09/24 15.00  |
| 29933    | Haitong Int'l Sec - SUNAC European Warrants Oct 2020 A       | 100,000,000  | 2020/05/21 | 2020/10/15 34.00  |
| 29864    | J P Morgan SP BV - BYD Company European Warrants Oct 2021 A  | 150,000,000  | 2020/05/21 | 2021/10/22 30.60  |
| 29840    | J P Morgan SP BV - China Lit European Warrants Nov 2020 B    | 50,000,000   | 2020/05/21 | 2020/11/20 19.25  |
| 29824    | J P Morgan SP BV - Chi Res Land European Warrants Dec 2020 A | 80,000,000   | 2020/05/21 | 2020/12/01 20.00  |
| 29863    | J P Morgan SP BV - Kingdee Intl European Warrants Nov 2020 A | 60,000,000   | 2020/05/21 | 2020/11/03 15.06  |
| 29874    | J P Morgan SP BV - Meituan European Warrants Dec 2020 D      | 200,000,000  | 2020/05/21 | 2020/12/23 30.20  |
| 29831    | J P Morgan SP BV - SHK Ppt European Warrants Dec 2020 A      | 30,000,000   | 2020/05/21 | 2020/12/01 11.85  |
| 29848    | J P Morgan SP BV - SMIC European Wts Mar 2021 A              | 60,000,000   | 2020/05/21 | 2021/03/11 15.06  |
| 11042    | J P Morgan SP BV - SPDR Gold Trust European Wts Mar 2021 A   | 40,000,000   | 2020/05/21 | 2021/03/31 10.04  |
| 29819    | J P Morgan SP BV - Tencent European Warrants Dec 2020 B      | 250,000,000  | 2020/05/21 | 2020/12/31 63.00  |
| 11047    | Macquarie Bank Ltd. - Alibaba European Warrants Dec 2020 C   | 29,000,000   | 2020/05/21 | 2020/12/02 10.03  |
| 11045    | Macquarie Bank Ltd. - China Lit European Warrants Apr 2021 A | 14,000,000   | 2020/05/21 | 2021/04/16 10.23  |
| 11046    | Macquarie Bank Ltd. - Meituan European Warrants Dec 2020 C   | 40,000,000   | 2020/05/21 | 2020/12/02 10.12  |
| 11043    | Macquarie Bank Ltd. - Ping An European Warrants Dec 2020 A   | 27,500,000   | 2020/05/21 | 2020/12/02 10.01  |
| 11044    | Macquarie Bank Ltd. - Weigao Group European Wts Jul 2021 A   | 40,000,000   | 2020/05/21 | 2021/07/16 10.04  |
| 29738    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Dec20 B | 108,000,000  | 2020/05/21 | 2020/12/23 16.20  |
| 29741    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Dec20 C | 108,000,000  | 2020/05/21 | 2020/12/28 27.00  |
| 29711    | Morgan Stanley Asia Products Ltd. - SMIC European Wts Mar21A | 98,000,000   | 2020/05/21 | 2021/03/01 24.50  |
| 29707    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Sep20 C | 98,000,000   | 2020/05/21 | 2020/09/24 15.29  |
| 29710    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Nov20 A | 98,000,000   | 2020/05/21 | 2020/11/23 24.50  |
| 29704    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Feb22 A | 98,000,000   | 2020/05/21 | 2022/02/22 24.60  |
| 29758    | Morgan Stanley Asia Products Ltd. - Xiaomi Euro Wts Jan21 A  | 98,000,000   | 2020/05/21 | 2021/01/04 14.70  |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            | 集資金額       |       |
|----------|--------------------------------------------------------------|-------------|------------|------------|-------|
|          |                                                              | 發行單位        | 上市日期       | 到期日(百萬港元)  |       |
| 29798    | SG Issuer - AAC Tech European Warrants Oct 2020 B            | 40,000,000  | 2020/05/21 | 2020/10/05 | 10.00 |
| 29805    | SG Issuer - Meituan European Put Warrants Nov 2020 A         | 100,000,000 | 2020/05/21 | 2020/11/20 | 25.00 |
| 29815    | SG Issuer - SMIC European Warrants Nov 2020 B                | 60,000,000  | 2020/05/21 | 2020/11/20 | 15.00 |
| 29775    | UBS AG - Meituan European Warrants Dec 2020 C                | 100,000,000 | 2020/05/21 | 2020/12/23 | 15.00 |
| 29781    | UBS AG - Xiaomi European Warrants Oct 2020 A                 | 100,000,000 | 2020/05/21 | 2020/10/27 | 15.00 |
| 11072    | BOCI Asia Ltd. - Alibaba European Warrants Oct 2020 B        | 150,000,000 | 2020/05/22 | 2020/10/20 | 22.50 |
| 11071    | BOCI Asia Ltd. - Tencent European Warrants Aug 2020 C        | 200,000,000 | 2020/05/22 | 2020/08/31 | 30.00 |
| 11067    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Jan 2021 D | 100,000,000 | 2020/05/22 | 2021/01/05 | 15.00 |
| 11075    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Apr 2021 B | 100,000,000 | 2020/05/22 | 2021/04/07 | 25.00 |
| 11077    | BNP Paribas Issuance B.V. - Sunny Optical Eu Wt Mar 2021 A   | 40,000,000  | 2020/05/22 | 2021/03/02 | 10.40 |
| 11079    | BNP Paribas Issuance B.V. - Xiaomi Euro Warrants May 2021 A  | 40,000,000  | 2020/05/22 | 2021/05/04 | 10.00 |
| 11151    | Credit Suisse AG - Conch Cement European Warrants Nov 2020 A | 50,000,000  | 2020/05/22 | 2020/11/23 | 15.00 |
| 11160    | Credit Suisse AG - Ch Comm Cons European Warrants Nov 2020 A | 40,000,000  | 2020/05/22 | 2020/11/23 | 10.00 |
| 11164    | Credit Suisse AG - China Lit European Warrants Sep 2021 A    | 100,000,000 | 2020/05/22 | 2021/09/30 | 25.00 |
| 11163    | Credit Suisse AG - China Taiping European Warrants Sep2020 A | 60,000,000  | 2020/05/22 | 2020/09/23 | 10.80 |
| 11148    | Credit Suisse AG - SMIC European Put Warrants Nov 2020 A     | 50,000,000  | 2020/05/22 | 2020/11/23 | 12.50 |
| 11193    | Citigroup Global - HSBC European Put Warrants Oct 2020 A     | 100,000,000 | 2020/05/22 | 2020/10/16 | 15.00 |
| 11196    | Citigroup Global - HSBC European Put Warrants Oct 2020 B     | 100,000,000 | 2020/05/22 | 2020/10/19 | 17.90 |
| 11197    | Citigroup Global - Xiaomi European Warrants Sep 2020 E       | 100,000,000 | 2020/05/22 | 2020/09/25 | 15.00 |
| 11168    | Goldman Sachs SP (Asia) - AAC Tech Euro Wts Sep 2021 A       | 80,000,000  | 2020/05/22 | 2021/09/27 | 12.00 |
| 11190    | Goldman Sachs SP (Asia) - Meituan European Warrants Dec20 D  | 80,000,000  | 2020/05/22 | 2020/12/23 | 12.00 |
| 11188    | Goldman Sachs SP (Asia) - Meituan Euro Put Wts Nov 2020 A    | 80,000,000  | 2020/05/22 | 2020/11/23 | 20.00 |
| 11167    | Goldman Sachs SP (Asia) - Xiaomi European Wts Sep 2020 G     | 80,000,000  | 2020/05/22 | 2020/09/23 | 12.32 |
| 11106    | HK Bank - AAC Tech European Put Warrants Nov 2020 A          | 100,000,000 | 2020/05/22 | 2020/11/17 | 15.00 |
| 11102    | HK Bank - China Mobile European Warrants Oct 2020 A          | 60,000,000  | 2020/05/22 | 2020/10/27 | 11.40 |
| 11108    | HK Bank - China Mobile European Put Warrants Nov 2020 A      | 100,000,000 | 2020/05/22 | 2020/11/23 | 15.00 |
| 11141    | Haitong Int'l Sec - Hua Hong Semi European Wts Sep 2020 A    | 100,000,000 | 2020/05/22 | 2020/09/04 | 18.00 |
| 11142    | Haitong Int'l Sec - Meituan European Warrants Dec 2020 D     | 100,000,000 | 2020/05/22 | 2020/12/23 | 15.00 |
| 11136    | Haitong Int'l Sec - NCI European Warrants Oct 2020 A         | 60,000,000  | 2020/05/22 | 2020/10/16 | 13.80 |
| 11134    | Haitong Int'l Sec - SMIC European Warrants Mar 2021 A        | 80,000,000  | 2020/05/22 | 2021/03/04 | 21.60 |
| 11128    | J P Morgan SP BV - Alibaba European Warrants Mar 2021 A      | 200,000,000 | 2020/05/22 | 2021/03/31 | 50.00 |
| 11131    | J P Morgan SP BV - HSBC European Warrants Sep 2020 F         | 100,000,000 | 2020/05/22 | 2020/09/30 | 15.20 |
| 11129    | J P Morgan SP BV - HSBC European Warrants Jan 2021 A         | 100,000,000 | 2020/05/22 | 2021/01/29 | 15.00 |
| 11112    | J P Morgan SP BV - Tencent European Warrants Feb 2021 A      | 250,000,000 | 2020/05/22 | 2021/02/26 | 84.00 |
| 11114    | J P Morgan SP BV - Tencent European Warrants Sep 2021 A      | 250,000,000 | 2020/05/22 | 2021/09/30 | 64.25 |
| 11097    | Macquarie Bank Ltd. - AAC Tech European Wts Jan 2022 A       | 40,000,000  | 2020/05/22 | 2022/01/04 | 10.04 |
| 11099    | Macquarie Bank Ltd. - China Res Gas European Wts Apr 2021 A  | 18,500,000  | 2020/05/22 | 2021/04/16 | 10.19 |
| 11090    | Macquarie Bank Ltd. - Ping An European Warrants Jul 2021 A   | 17,500,000  | 2020/05/22 | 2021/07/05 | 10.24 |
| 11064    | Morgan Stanley Asia Products Ltd. - Tencent Eu Put Wt Nov20A | 80,000,000  | 2020/05/22 | 2020/11/23 | 20.00 |
| 11101    | UBS AG - Tencent European Warrants Dec 2020 A                | 300,000,000 | 2020/05/22 | 2020/12/28 | 75.00 |
| 11204    | Bank Vontobel - Meituan European Put Warrants Dec 2020 A     | 40,000,000  | 2020/05/22 | 2020/12/03 | 10.00 |
| 11228    | BOCI Asia Ltd. - Ping An European Warrants Oct 2020 A        | 70,000,000  | 2020/05/25 | 2020/10/30 | 10.50 |
| 11325    | Credit Suisse AG - BYD Electronic European Wts Nov 2020 B    | 50,000,000  | 2020/05/25 | 2020/11/24 | 12.50 |
| 11326    | Credit Suisse AG - Microport European Warrants Nov 2020 A    | 30,000,000  | 2020/05/25 | 2020/11/24 | 10.20 |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                          | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|---------------------------------------------------------------|--------------|------------|-------------------|
| 11333    | Credit Suisse AG - SD Gold European Warrants Nov 2020 A       | 40,000,000   | 2020/05/25 | 2020/11/24 10.00  |
| 11324    | Credit Suisse AG - Sunny Optical European Warrants Nov 2020C  | 100,000,000  | 2020/05/25 | 2020/11/24 25.00  |
| 11332    | Credit Suisse AG - Yihai Intl European Warrants Nov 2020 A    | 60,000,000   | 2020/05/25 | 2020/11/24 15.00  |
| 11342    | Citigroup Global - Alibaba Group Euro Warrants Sep 2020 A     | 100,000,000  | 2020/05/25 | 2020/09/02 15.90  |
| 11339    | Citigroup Global - BYD Company European Warrants Nov 2020 A   | 50,000,000   | 2020/05/25 | 2020/11/25 22.00  |
| 11347    | Citigroup Global - CNOOC European Warrants Oct 2020 B         | 100,000,000  | 2020/05/25 | 2020/10/23 15.00  |
| 11337    | Citigroup Global - SMIC European Warrants Sep 2020 A          | 100,000,000  | 2020/05/25 | 2020/09/04 19.10  |
| 11336    | Citigroup Global - SMIC European Warrants Nov 2020 A          | 100,000,000  | 2020/05/25 | 2020/11/25 25.00  |
| 11361    | Goldman Sachs SP (Asia) - China Life Euro Wts Dec 2020 C      | 100,000,000  | 2020/05/25 | 2020/12/08 15.00  |
| 11362    | Goldman Sachs SP (Asia) - HSI European Warrants Dec 2020 A    | 150,000,000  | 2020/05/25 | 2020/12/30 22.50  |
| 11211    | HK Bank - PA Gooddoctor European Warrants Dec 2020 B          | 80,000,000   | 2020/05/25 | 2020/12/31 20.00  |
| 11217    | HK Bank - Sunny Optical European Warrants Dec 2020 D          | 100,000,000  | 2020/05/25 | 2020/12/01 15.00  |
| 11302    | Haitong Int'l Sec - Alibaba European Warrants Oct 2020 C      | 100,000,000  | 2020/05/25 | 2020/10/23 17.00  |
| 11303    | Haitong Int'l Sec - Alibaba European Warrants Oct 2020 D      | 100,000,000  | 2020/05/25 | 2020/10/20 16.00  |
| 11269    | Haitong Int'l Sec - China Lit European Warrants Nov 2020 B    | 60,000,000   | 2020/05/25 | 2020/11/24 37.20  |
| 11268    | Haitong Int'l Sec - Chi Res Land European Warrants Nov 2020A  | 60,000,000   | 2020/05/25 | 2020/11/24 15.00  |
| 11294    | Haitong Int'l Sec - China Shenhua European Warrants Nov2020A  | 60,000,000   | 2020/05/25 | 2020/11/27 14.40  |
| 11288    | Haitong Int'l Sec - China Unicom European Warrants Sep 2020A  | 70,000,000   | 2020/05/25 | 2020/09/28 11.90  |
| 11278    | Haitong Int'l Sec - Lenovo European Warrants Sep 2020 A       | 60,000,000   | 2020/05/25 | 2020/09/25 13.20  |
| 11285    | Haitong Int'l Sec - Link REIT European Warrants Dec 2021 A    | 60,000,000   | 2020/05/25 | 2021/12/23 10.80  |
| 11290    | Haitong Int'l Sec - Mengniu Dairy European Wts Sep 2020 A     | 70,000,000   | 2020/05/25 | 2020/09/25 10.50  |
| 11266    | J P Morgan SP BV - AAC Tech European Warrants Sep 2021 A      | 100,000,000  | 2020/05/25 | 2021/09/30 15.00  |
| 11259    | J P Morgan SP BV - A-Living European Warrants Nov 2021 A      | 60,000,000   | 2020/05/25 | 2021/11/30 15.06  |
| 11265    | J P Morgan SP BV - PA Gooddoctor European Warrants Dec 2020A  | 100,000,000  | 2020/05/25 | 2020/12/23 15.10  |
| 11254    | J P Morgan SP BV - SPDR Gold Trust Euro Put Wts Mar 2021 A    | 60,000,000   | 2020/05/25 | 2021/03/31 15.06  |
| 11235    | J P Morgan SP BV - Sunny Optical European Wts Dec 2020 B      | 80,000,000   | 2020/05/25 | 2020/12/23 14.96  |
| 11257    | J P Morgan SP BV - Zhaojin Mining European Wts Jan 2021 A     | 60,000,000   | 2020/05/25 | 2021/01/29 15.06  |
| 11258    | J P Morgan SP BV - Zijin Mining European Warrants Nov 2020 B  | 60,000,000   | 2020/05/25 | 2020/11/25 15.12  |
| 11220    | Macquarie Bank Ltd. - Chi Res Land European Wts Dec 2020 A    | 35,000,000   | 2020/05/25 | 2020/12/02 10.08  |
| 11227    | Macquarie Bank Ltd. - Haidilao European Warrants Dec 2020 A   | 32,000,000   | 2020/05/25 | 2020/12/16 10.02  |
| 11234    | Macquarie Bank Ltd. - Sinopharm European Put Warrants Feb21A  | 35,500,000   | 2020/05/25 | 2021/02/02 10.08  |
| 11242    | Morgan Stanley Asia Products Ltd. - CNOOC Euro Wts Dec 2020B  | 68,000,000   | 2020/05/25 | 2020/12/22 10.20  |
| 11236    | Morgan Stanley Asia Products Ltd. - Sinopec Corp Eu Wt Nov20A | 68,000,000   | 2020/05/25 | 2020/11/02 10.20  |
| 11244    | Morgan Stanley Asia Products Ltd. - PetroChina Eu Wt Oct20A   | 68,000,000   | 2020/05/25 | 2020/10/05 10.20  |
| 11349    | SG Issuer - SMIC European Warrants Apr 2021 A                 | 60,000,000   | 2020/05/25 | 2021/04/30 15.00  |
| 11230    | UBS AG - Hansoh Pharma European Warrants Dec 2020 A           | 50,000,000   | 2020/05/25 | 2020/12/30 23.30  |
| 11320    | Bank Vontobel - AAC Tech European Warrants Apr 2021 A         | 60,000,000   | 2020/05/25 | 2021/04/23 10.20  |
| 11322    | Bank Vontobel - Meituan European Warrants Dec 2020 C          | 40,000,000   | 2020/05/25 | 2020/12/03 10.00  |
| 11304    | Bank Vontobel - SHK Ppt European Warrants Dec 2020 B          | 20,000,000   | 2020/05/25 | 2020/12/01 11.60  |
| 11308    | Bank Vontobel - SHK Ppt European Put Warrants Apr 2021 A      | 40,000,000   | 2020/05/25 | 2021/04/01 10.00  |
| 11402    | BOCI Asia Ltd. - Meituan European Warrants Dec 2020 D         | 100,000,000  | 2020/05/26 | 2020/12/31 15.00  |
| 11403    | BOCI Asia Ltd. - Sunny Optical European Warrants Nov 2020 A   | 150,000,000  | 2020/05/26 | 2020/11/30 22.50  |
| 11401    | BOCI Asia Ltd. - Tencent European Put Wts Oct 2020 A          | 200,000,000  | 2020/05/26 | 2020/10/30 30.00  |
| 11458    | BNP Paribas Issuance B.V. - Tencent Eu Put Wt Dec 2020 A      | 80,000,000   | 2020/05/26 | 2020/12/02 22.40  |

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| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 11459    | BNP Paribas Issuance B.V. - Tencent Eu Put Wt Feb 2021 A     | 80,000,000   | 2020/05/26 | 2021/02/02 20.80  |
| 11507    | Credit Suisse AG - Alibaba European Warrants Aug 2020 C      | 200,000,000  | 2020/05/26 | 2020/08/26 30.00  |
| 11508    | Credit Suisse AG - Alibaba European Warrants Oct 2020 D      | 200,000,000  | 2020/05/26 | 2020/10/27 30.00  |
| 11495    | Credit Suisse AG - HKEX European Put Warrants Nov 2020 C     | 100,000,000  | 2020/05/26 | 2020/11/25 25.00  |
| 11497    | Credit Suisse AG - Meituan European Put Warrants Nov 2020 B  | 100,000,000  | 2020/05/26 | 2020/11/25 28.00  |
| 11511    | Credit Suisse AG - Vinda Intl European Warrants Nov 2020 A   | 40,000,000   | 2020/05/26 | 2020/11/25 10.00  |
| 11510    | Credit Suisse AG - Xinyi Solar European Warrants Feb 2021 A  | 70,000,000   | 2020/05/26 | 2021/02/26 17.50  |
| 11363    | Citigroup Global - AIA European Warrants Sep 2020 C          | 100,000,000  | 2020/05/26 | 2020/09/23 19.50  |
| 11404    | Citigroup Global - Alibaba Group Euro Warrants Aug 2020 B    | 100,000,000  | 2020/05/26 | 2020/08/26 16.10  |
| 11405    | Citigroup Global - PA Gooddoctor European Warrants Dec2020 B | 100,000,000  | 2020/05/26 | 2020/12/23 16.00  |
| 11409    | Citigroup Global - Sands China European Warrants Sep 2020 B  | 100,000,000  | 2020/05/26 | 2020/09/17 18.60  |
| 11413    | Citigroup Global - Tencent European Warrants Sep 2020 C      | 100,000,000  | 2020/05/26 | 2020/09/23 15.90  |
| 11400    | Guotai Junan - Alibaba Group European Warrants Dec 2020 A    | 100,000,000  | 2020/05/26 | 2020/12/24 17.60  |
| 11396    | Guotai Junan - Tencent European Warrants Nov 2020 A          | 100,000,000  | 2020/05/26 | 2020/11/23 18.60  |
| 11536    | Goldman Sachs SP (Asia) - Alibaba European Wts Aug 2020 C    | 100,000,000  | 2020/05/26 | 2020/08/26 15.00  |
| 11539    | Goldman Sachs SP (Asia) - China Tower Euro Wts Oct 2020 B    | 80,000,000   | 2020/05/26 | 2020/10/22 12.08  |
| 11529    | Goldman Sachs SP (Asia) - Tencent European Wts Dec 2020 A    | 150,000,000  | 2020/05/26 | 2020/12/18 28.05  |
| 11376    | HK Bank - Alibaba European Warrants Jan 2021 A               | 100,000,000  | 2020/05/26 | 2021/01/05 15.00  |
| 11378    | HK Bank - Alibaba European Warrants Jun 2021 A               | 100,000,000  | 2020/05/26 | 2021/06/23 16.00  |
| 11379    | HK Bank - China Life European Warrants Mar 2021 B            | 100,000,000  | 2020/05/26 | 2021/03/26 15.00  |
| 11460    | Haitong Int'l Sec - Air China European Warrants Nov 2020 A   | 70,000,000   | 2020/05/26 | 2020/11/30 22.40  |
| 11473    | Haitong Int'l Sec - Avichina European Warrants Oct 2020 A    | 60,000,000   | 2020/05/26 | 2020/10/05 14.40  |
| 11472    | Haitong Int'l Sec - Ch Molybdenum European Warrants Sep20 A  | 60,000,000   | 2020/05/26 | 2020/09/24 16.20  |
| 11475    | Haitong Int'l Sec - Ch Southern Air European Warrants Oct20A | 60,000,000   | 2020/05/26 | 2020/10/20 16.20  |
| 11470    | Haitong Int'l Sec - Genscript Bio European Warrants Sep20 A  | 60,000,000   | 2020/05/26 | 2020/09/04 11.40  |
| 11485    | Haitong Int'l Sec - HKEX European Warrants Dec 2020 C        | 70,000,000   | 2020/05/26 | 2020/12/23 10.50  |
| 11466    | Haitong Int'l Sec - Longfor Group European Warrants Nov20 A  | 60,000,000   | 2020/05/26 | 2020/11/30 16.20  |
| 11492    | Haitong Int'l Sec - Meituan European Warrants Dec 2020 E     | 100,000,000  | 2020/05/26 | 2020/12/23 15.00  |
| 11480    | Haitong Int'l Sec - SD Gold European Warrants Sep 2020 A     | 60,000,000   | 2020/05/26 | 2020/09/24 16.80  |
| 11465    | Haitong Int'l Sec - Shimao Property European Warrants Nov20A | 60,000,000   | 2020/05/26 | 2020/11/30 25.80  |
| 11478    | Haitong Int'l Sec - Zhaojin Mining European Wts Nov 2020 A   | 70,000,000   | 2020/05/26 | 2020/11/24 11.20  |
| 11418    | J P Morgan SP BV - Ch Comm Cons European Warrants Nov 2020 A | 40,000,000   | 2020/05/26 | 2020/11/30 11.28  |
| 11414    | J P Morgan SP BV - HKEX European Put Wts Feb 2021 A          | 100,000,000  | 2020/05/26 | 2021/02/26 25.10  |
| 11423    | J P Morgan SP BV - Meituan European Put Warrants Nov 2020 C  | 100,000,000  | 2020/05/26 | 2020/11/30 25.00  |
| 11420    | J P Morgan SP BV - Xinyi Solar European Warrants Mar 2021 A  | 60,000,000   | 2020/05/26 | 2021/03/31 15.00  |
| 11372    | Macquarie Bank Ltd. - China Com Services European Wts Apr21A | 40,000,000   | 2020/05/26 | 2021/04/07 10.04  |
| 11364    | Morgan Stanley Asia Products Ltd. - ICBC European Wts Nov20A | 68,000,000   | 2020/05/26 | 2020/11/03 10.20  |
| 11365    | Morgan Stanley Asia Products Ltd. - Sands China Eu Wt Oct20A | 50,000,000   | 2020/05/26 | 2020/10/05 10.10  |
| 11369    | Morgan Stanley Asia Products Ltd. - Sands China Eu Wt Nov20A | 68,000,000   | 2020/05/26 | 2020/11/25 10.20  |
| 11524    | SG Issuer - HKEX European Put Warrants Sep 2020 B            | 60,000,000   | 2020/05/26 | 2020/09/03 10.20  |
| 11522    | SG Issuer - Tencent European Put Warrants Aug 2020 C         | 100,000,000  | 2020/05/26 | 2020/08/25 15.00  |
| 11440    | UBS AG - PA Gooddoctor European Warrants Dec 2020 A          | 100,000,000  | 2020/05/26 | 2020/12/22 15.00  |
| 11434    | UBS AG - Sunny Optical European Warrants Dec 2020 A          | 100,000,000  | 2020/05/26 | 2020/12/23 15.00  |
| 11439    | UBS AG - Xiaomi European Warrants Dec 2020 C                 | 100,000,000  | 2020/05/26 | 2020/12/11 15.00  |

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| 股份<br>代號           | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|--------------------|--------------------------------------------------------------|--------------|------------|-------------------|
| 11452              | Bank Vontobel - AIA European Put Warrants Apr 2021 A         | 70,000,000   | 2020/05/26 | 2021/04/27 10.50  |
| 11443              | Bank Vontobel - Alibaba Group European Warrants Jan 2021 A   | 40,000,000   | 2020/05/26 | 2021/01/05 10.00  |
| 11455              | Bank Vontobel - CNOOC European Warrants Feb 2021 A           | 70,000,000   | 2020/05/26 | 2021/02/22 10.50  |
| 11450              | Bank Vontobel - Geely Auto European Warrants Dec 2020 B      | 70,000,000   | 2020/05/26 | 2020/12/23 11.20  |
| 11451              | Bank Vontobel - HKEX European Warrants Jan 2021 A            | 40,000,000   | 2020/05/26 | 2021/01/27 12.00  |
| 11454              | Bank Vontobel - Meituan European Warrants Dec 2020 D         | 80,000,000   | 2020/05/26 | 2020/12/23 12.00  |
| 11441              | Bank Vontobel - SMIC European Warrants Dec 2020 A            | 40,000,000   | 2020/05/26 | 2020/12/11 10.00  |
| 21983 <sup>#</sup> | Credit Suisse AG - AAC Tech European Warrants Sep 2020 A     | 180,000,000  | 2020/05/26 | 2020/09/25 10.26  |
| 11606              | BOCI Asia Ltd. - AIA European Put Warrants Apr 2021 A        | 150,000,000  | 2020/05/27 | 2021/04/30 22.50  |
| 11610              | BOCI Asia Ltd. - Xiaomi European Put Warrants Oct 2020 A     | 70,000,000   | 2020/05/27 | 2020/10/30 11.90  |
| 11674              | BNP Paribas Issuance B.V. - AIA European Wts Apr 2021 A      | 40,000,000   | 2020/05/27 | 2021/04/07 27.20  |
| 11544              | BNP Paribas Issuance B.V. - Bud Apac European Wts Jan21A     | 50,000,000   | 2020/05/27 | 2021/01/05 10.50  |
| 11545              | BNP Paribas Issuance B.V. - CNOOC European Wts Jan 2021 A    | 60,000,000   | 2020/05/27 | 2021/01/05 12.00  |
| 11542              | BNP Paribas Issuance B.V. - Geely Auto Euro Wts Jan 2021 A   | 40,000,000   | 2020/05/27 | 2021/01/05 10.00  |
| 11541              | BNP Paribas Issuance B.V. - HKEX European Wts Apr 2021 A     | 70,000,000   | 2020/05/27 | 2021/04/07 10.50  |
| 11656              | BNP Paribas Issuance B.V. - HKEX European Wts Apr 2021 B     | 40,000,000   | 2020/05/27 | 2021/04/07 10.00  |
| 11666              | BNP Paribas Issuance B.V. - HKEX European Wts Aug 2021 A     | 40,000,000   | 2020/05/27 | 2021/08/03 10.00  |
| 11670              | BNP Paribas Issuance B.V. - Meituan Euro Warrants Jun 2021 A | 80,000,000   | 2020/05/27 | 2021/06/02 20.80  |
| 11673              | BNP Paribas Issuance B.V. - Xiaomi Euro Warrants Oct 2020 B  | 70,000,000   | 2020/05/27 | 2020/10/06 10.50  |
| 11681              | Credit Suisse AG - Alibaba European Warrants Sep 2020 H      | 200,000,000  | 2020/05/27 | 2020/09/25 30.00  |
| 11683              | Credit Suisse AG - Alibaba European Warrants Dec 2020 B      | 200,000,000  | 2020/05/27 | 2020/12/24 30.00  |
| 11689              | Credit Suisse AG - Alibaba European Put Warrants Dec 2020 A  | 150,000,000  | 2020/05/27 | 2020/12/14 22.50  |
| 11692              | Credit Suisse AG - China Life European Warrants Mar 2021 A   | 100,000,000  | 2020/05/27 | 2021/03/26 15.00  |
| 11694              | Credit Suisse AG - Ch Molybdenum European Wts Nov 2020 A     | 40,000,000   | 2020/05/27 | 2020/11/26 10.00  |
| 11612              | Guotai Junan - Meituan European Put Warrants Nov 2020 B      | 100,000,000  | 2020/05/27 | 2020/11/26 15.70  |
| 11611              | Guotai Junan - Tencent European Tencent put Warrants Dec20A  | 100,000,000  | 2020/05/27 | 2020/12/02 19.80  |
| 11713              | Goldman Sachs SP (Asia) - HKEX European Warrants Mar 2021 A  | 150,000,000  | 2020/05/27 | 2021/03/31 22.50  |
| 11701              | Goldman Sachs SP (Asia) - Meituan Euro Put Wts Nov 2020 B    | 80,000,000   | 2020/05/27 | 2020/11/27 20.00  |
| 11696              | Goldman Sachs SP (Asia) - Tencent European Put Wt Nov 2020 B | 100,000,000  | 2020/05/27 | 2020/11/10 19.70  |
| 11578              | HK Bank - CNOOC European Warrants Oct 2021 A                 | 100,000,000  | 2020/05/27 | 2021/10/04 25.00  |
| 11559              | HK Bank - SMIC European Warrants Nov 2020 C                  | 100,000,000  | 2020/05/27 | 2020/11/30 25.00  |
| 11641              | J P Morgan SP BV - China Com Services European Wts Dec 2020A | 60,000,000   | 2020/05/27 | 2020/12/23 12.24  |
| 11584              | Macquarie Bank Ltd. - AAC Tech European Wts Dec 2020 B       | 40,000,000   | 2020/05/27 | 2020/12/02 10.04  |
| 11603              | Macquarie Bank Ltd. - China Life European Put Wts Dec 2020 A | 36,000,000   | 2020/05/27 | 2020/12/31 10.01  |
| 11596              | Macquarie Bank Ltd. - China Mobile Euro Put Wts Jan 2021 A   | 30,000,000   | 2020/05/27 | 2021/01/05 10.05  |
| 11595              | Macquarie Bank Ltd. - Kingdee Int'l European Wts Jan 2021 A  | 36,400,000   | 2020/05/27 | 2021/01/18 10.01  |
| 11632              | Morgan Stanley Asia Products Ltd. - Meituan Eu Put Wt Nov20A | 68,000,000   | 2020/05/27 | 2020/11/12 10.20  |
| 11616              | Morgan Stanley Asia Products Ltd. - Meituan Eu Put Wt Jun21A | 80,000,000   | 2020/05/27 | 2021/06/23 12.00  |
| 11637              | UBS AG - HKEX European Warrants Mar 2021 A                   | 300,000,000  | 2020/05/27 | 2021/03/24 45.00  |
| 11634              | UBS AG - Meituan European Put Warrants Nov 2020 B            | 100,000,000  | 2020/05/27 | 2020/11/26 25.00  |
| 11675              | Bank Vontobel - SHK Ppt European Warrants Apr 2021 A         | 60,000,000   | 2020/05/27 | 2021/04/23 11.46  |
| 11818              | BOCI Asia Ltd. - Genscript Bio European Warrants Sep 2020 A  | 70,000,000   | 2020/05/28 | 2020/09/30 19.60  |
| 11820              | BOCI Asia Ltd. - Meituan European Put Warrants Apr 2021 A    | 200,000,000  | 2020/05/28 | 2021/04/30 34.00  |
| 11806              | BNP Paribas Issuance B.V. - CC Bank Euro Wts Apr 2021 A      | 40,000,000   | 2020/05/28 | 2021/04/07 19.20  |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 11807    | BNP Paribas Issuance B.V. - HSI European Wts Mar 2021 A      | 40,000,000   | 2020/05/28 | 2021/03/30 10.00  |
| 11805    | BNP Paribas Issuance B.V. - ICBC European Wts Apr 2021 A     | 40,000,000   | 2020/05/28 | 2021/04/07 19.20  |
| 11910    | Credit Suisse AG - CC Bank European Warrants Nov 2020 A      | 50,000,000   | 2020/05/28 | 2020/11/27 12.50  |
| 11902    | Credit Suisse AG - ICBC European Warrants Nov 2020 A         | 70,000,000   | 2020/05/28 | 2020/11/03 10.50  |
| 11901    | Credit Suisse AG - Lenovo European Warrants Dec 2021 A       | 100,000,000  | 2020/05/28 | 2021/12/23 15.00  |
| 11922    | Citigroup Global - Galaxy Ent European Put Warrants Sep20 A  | 100,000,000  | 2020/05/28 | 2020/09/07 17.70  |
| 11926    | Citigroup Global - HKEX European Put Warrants Aug 2020 A     | 100,000,000  | 2020/05/28 | 2020/08/28 15.80  |
| 11917    | Citigroup Global - Meituan European Put Warrants Nov 2020 C  | 100,000,000  | 2020/05/28 | 2020/11/30 27.00  |
| 11937    | Citigroup Global - SHK Ppt European Warrants Nov 2020 A      | 100,000,000  | 2020/05/28 | 2020/11/30 25.00  |
| 11916    | Citigroup Global - SHK Ppt European Warrants Apr 2021 A      | 100,000,000  | 2020/05/28 | 2021/04/23 19.60  |
| 11715    | Guotai Junan - HSBC European Warrants Nov 2020 A             | 100,000,000  | 2020/05/28 | 2020/11/06 16.60  |
| 11990    | Goldman Sachs SP (Asia) - AIA European Put Wts Sep 2020 A    | 100,000,000  | 2020/05/28 | 2020/09/29 15.00  |
| 11989    | Goldman Sachs SP (Asia) - Alibaba European Wts Aug 2020 D    | 100,000,000  | 2020/05/28 | 2020/08/28 15.00  |
| 11992    | Goldman Sachs SP (Asia) - CITIC Sec European Wts Mar 2021 A  | 80,000,000   | 2020/05/28 | 2021/03/26 12.00  |
| 11991    | Goldman Sachs SP (Asia) - PA Gooddoctor European Wts Dec20 B | 100,000,000  | 2020/05/28 | 2020/12/23 15.00  |
| 11803    | HK Bank - HKEX European Put Warrants Dec 2020 B              | 100,000,000  | 2020/05/28 | 2020/12/31 25.00  |
| 11808    | HK Bank - Meituan European Warrants Mar 2021 A               | 100,000,000  | 2020/05/28 | 2021/03/29 25.00  |
| 11982    | Haitong Int'l Sec - Alibaba European Warrants Sep 2020 B     | 100,000,000  | 2020/05/28 | 2020/09/30 15.00  |
| 11974    | Haitong Int'l Sec - Alibaba European Put Warrants Sep 2020 B | 100,000,000  | 2020/05/28 | 2020/09/08 15.00  |
| 11984    | Haitong Int'l Sec - China Com Services European Wts Dec20A   | 80,000,000   | 2020/05/28 | 2020/12/23 18.40  |
| 11985    | Haitong Int'l Sec - Evergrande European Warrants Oct 2020 A  | 80,000,000   | 2020/05/28 | 2020/10/28 12.00  |
| 11962    | Haitong Int'l Sec - HKEX European Warrants Oct 2020 A        | 80,000,000   | 2020/05/28 | 2020/10/22 12.00  |
| 11964    | Haitong Int'l Sec - SHK Ppt European Warrants Apr 2021 A     | 80,000,000   | 2020/05/28 | 2021/04/23 16.80  |
| 11987    | Haitong Int'l Sec - Tencent European Put Warrants Nov 2020 A | 100,000,000  | 2020/05/28 | 2020/11/13 26.00  |
| 11942    | Haitong Int'l Sec - Xiaomi European Warrants Aug 2020 A      | 100,000,000  | 2020/05/28 | 2020/08/31 15.00  |
| 11877    | J P Morgan SP BV - CICC European Warrants Dec 2020 A         | 60,000,000   | 2020/05/28 | 2020/12/31 15.00  |
| 11879    | J P Morgan SP BV - Genscript Bio European Warrants Nov 2020A | 80,000,000   | 2020/05/28 | 2020/11/13 12.08  |
| 11898    | J P Morgan SP BV - HKEX European Warrants Mar 2021 A         | 200,000,000  | 2020/05/28 | 2021/03/24 30.00  |
| 11875    | J P Morgan SP BV - Kingsoft European Warrants Nov 2020 A     | 60,000,000   | 2020/05/28 | 2020/11/30 18.18  |
| 11854    | J P Morgan SP BV - Meituan European Warrants Nov 2020 B      | 200,000,000  | 2020/05/28 | 2020/11/30 50.40  |
| 11864    | J P Morgan SP BV - SMIC European Wts Nov 2020 A              | 80,000,000   | 2020/05/28 | 2020/11/30 20.32  |
| 11900    | J P Morgan SP BV - Xiaomi European Warrants Sep 2021 A       | 200,000,000  | 2020/05/28 | 2021/09/27 30.40  |
| 11865    | J P Morgan SP BV - ZTE European Warrants Nov 2020 A          | 60,000,000   | 2020/05/28 | 2020/11/30 19.02  |
| 11988    | SG Issuer - PA Gooddoctor European Warrants Nov 2020 A       | 100,000,000  | 2020/05/28 | 2020/11/30 15.00  |
| 11842    | UBS AG - Alibaba European Warrants Sep 2020 E                | 100,000,000  | 2020/05/28 | 2020/09/25 15.00  |
| 11852    | UBS AG - Alibaba European Warrants Oct 2020 C                | 100,000,000  | 2020/05/28 | 2020/10/27 15.00  |
| 11847    | UBS AG - Alibaba European Warrants Dec 2020 B                | 100,000,000  | 2020/05/28 | 2020/12/24 15.00  |
| 23770 #  | J P Morgan SP BV - HSI European Warrants Sep 2020 D          | 600,000,000  | 2020/05/28 | 2020/09/29 16.80  |
| 24050 #  | J P Morgan SP BV - HSI European Warrants Sep 2020 E          | 600,000,000  | 2020/05/28 | 2020/09/29 29.40  |
| 24168 #  | J P Morgan SP BV - HSI European Warrants Oct 2020 D          | 600,000,000  | 2020/05/28 | 2020/10/29 41.40  |
| 12238    | BOCI Asia Ltd. - HSBC European Warrants Nov 2020 A           | 70,000,000   | 2020/05/29 | 2020/11/30 12.60  |
| 12239    | BOCI Asia Ltd. - SMIC European Warrants Nov 2020 A           | 100,000,000  | 2020/05/29 | 2020/11/23 18.00  |
| 12157    | BNP Paribas Issuance B.V. - Tencent European Wts Oct 2020 E  | 80,000,000   | 2020/05/29 | 2020/10/06 14.40  |
| 12156    | BNP Paribas Issuance B.V. - Tencent European Wts Dec 2020 D  | 80,000,000   | 2020/05/29 | 2020/12/02 20.00  |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 12154    | Credit Suisse AG - Alibaba European Warrants Apr 2021 A      | 200,000,000  | 2020/05/29 | 2021/04/23 30.00  |
| 12138    | Credit Suisse AG - BOC HK European Warrants Dec 2020 A       | 80,000,000   | 2020/05/29 | 2020/12/31 20.00  |
| 12153    | Credit Suisse AG - China Life European Warrants Jan 2021 A   | 100,000,000  | 2020/05/29 | 2021/01/26 15.00  |
| 12137    | Credit Suisse AG - HSBC European Wts Dec 2020 B              | 100,000,000  | 2020/05/29 | 2020/12/22 15.00  |
| 12136    | Credit Suisse AG - HSBC European Wts Jan 2021 A              | 100,000,000  | 2020/05/29 | 2021/01/26 15.00  |
| 12101    | Credit Suisse AG - HSI European Warrants Oct 2020 C          | 150,000,000  | 2020/05/29 | 2020/10/29 22.50  |
| 11995    | Credit Suisse AG - HSI European Warrants Nov 2020 B          | 150,000,000  | 2020/05/29 | 2020/11/27 22.50  |
| 12226    | Credit Suisse AG - Ping An European Warrants Nov 2020 A      | 150,000,000  | 2020/05/29 | 2020/11/25 22.50  |
| 12221    | Credit Suisse AG - Ping An European Warrants Sep 2022 A      | 250,000,000  | 2020/05/29 | 2022/09/27 37.50  |
| 12139    | Credit Suisse AG - SHK Ppt European Warrants Nov 2020 A      | 80,000,000   | 2020/05/29 | 2020/11/30 20.00  |
| 12147    | Credit Suisse AG - Tencent European Wts Nov 2020 C           | 250,000,000  | 2020/05/29 | 2020/11/16 37.50  |
| 12150    | Credit Suisse AG - Xiaomi European Warrants Dec 2020 G       | 200,000,000  | 2020/05/29 | 2020/12/28 34.00  |
| 12187    | Citigroup Global - CCB European Warrants Oct 2020 B          | 100,000,000  | 2020/05/29 | 2020/10/23 20.80  |
| 12186    | Citigroup Global - China Mobile European Warrants Sep 2020 C | 100,000,000  | 2020/05/29 | 2020/09/23 16.10  |
| 12185    | Citigroup Global - ICBC European Warrants Oct 2020 B         | 100,000,000  | 2020/05/29 | 2020/10/23 15.90  |
| 12189    | Citigroup Global - Sunac European Warrants Oct 2020 A        | 100,000,000  | 2020/05/29 | 2020/10/15 20.20  |
| 12232    | Bank of East Asia - PA Good Doctor European Wts Nov 2020 A   | 40,000,000   | 2020/05/29 | 2020/11/30 10.80  |
| 12256    | Goldman Sachs SP (Asia) - AIA European Warrants Sep 2020 D   | 80,000,000   | 2020/05/29 | 2020/09/23 12.00  |
| 12257    | Goldman Sachs SP (Asia) - Alibaba European Wts Sep 2020 H    | 100,000,000  | 2020/05/29 | 2020/09/02 15.00  |
| 12250    | Goldman Sachs SP (Asia) - HSBC European Warrants Nov 2020 A  | 80,000,000   | 2020/05/29 | 2020/11/25 12.00  |
| 12252    | Goldman Sachs SP (Asia) - SHK Ppt European Wts Apr 2021 A    | 100,000,000  | 2020/05/29 | 2021/04/23 15.00  |
| 12109    | HK Bank - AIA European Warrants Jul 2021 B                   | 100,000,000  | 2020/05/29 | 2021/07/05 25.00  |
| 12119    | HK Bank - CK Asset European Warrants Dec 2021 A              | 100,000,000  | 2020/05/29 | 2021/12/31 25.00  |
| 12122    | HK Bank - HSI European Warrants Oct 2020 C                   | 200,000,000  | 2020/05/29 | 2020/10/29 30.00  |
| 12132    | HK Bank - HSI European Warrants Nov 2020 A                   | 200,000,000  | 2020/05/29 | 2020/11/27 30.00  |
| 12128    | HK Bank - Link REIT European Warrants Dec 2021 B             | 100,000,000  | 2020/05/29 | 2021/12/31 25.00  |
| 12207    | J P Morgan SP BV - CC Bank European Wts Oct 2020 A           | 100,000,000  | 2020/05/29 | 2020/10/30 25.10  |
| 12204    | J P Morgan SP BV - CITIC Bank European Warrants Nov 2020 A   | 50,000,000   | 2020/05/29 | 2020/11/30 12.50  |
| 12195    | J P Morgan SP BV - China Mobile European Wts Nov 2020 A      | 100,000,000  | 2020/05/29 | 2020/11/30 25.10  |
| 12212    | J P Morgan SP BV - CNOOC European Warrants Jan 2021 A        | 80,000,000   | 2020/05/29 | 2021/01/22 12.00  |
| 12210    | J P Morgan SP BV - China Shenhua European Wts Nov 2020 A     | 70,000,000   | 2020/05/29 | 2020/11/30 10.57  |
| 12217    | J P Morgan SP BV - China Tower European Warrants May 2021 C  | 70,000,000   | 2020/05/29 | 2021/05/10 10.78  |
| 12209    | J P Morgan SP BV - Fosun Intl European Warrants Nov 2020 A   | 70,000,000   | 2020/05/29 | 2020/11/30 17.50  |
| 12206    | J P Morgan SP BV - HSBC European Warrants Nov 2020 A         | 100,000,000  | 2020/05/29 | 2020/11/30 25.00  |
| 12194    | J P Morgan SP BV - HSI European Warrants Dec 2020 C          | 400,000,000  | 2020/05/29 | 2020/12/30 100.80 |
| 12201    | J P Morgan SP BV - Link REIT European Warrants Dec 2020 A    | 60,000,000   | 2020/05/29 | 2020/12/18 15.00  |
| 12198    | J P Morgan SP BV - Ping An European Warrants Nov 2020 A      | 100,000,000  | 2020/05/29 | 2020/11/30 25.10  |
| 12213    | J P Morgan SP BV - Sands China Ltd European Warrants Dec20 A | 80,000,000   | 2020/05/29 | 2020/12/31 12.48  |
| 12203    | J P Morgan SP BV - Sino Biopharm European Warrants Nov 2020A | 60,000,000   | 2020/05/29 | 2020/11/30 15.00  |
| 12200    | J P Morgan SP BV - Yanzhou Coal European Warrants Dec20 A    | 40,000,000   | 2020/05/29 | 2020/12/31 10.44  |
| 12158    | Morgan Stanley Asia Products Ltd. - AIA European Wts Jun21 A | 98,000,000   | 2020/05/29 | 2021/06/30 24.50  |
| 12163    | Morgan Stanley Asia Products Ltd. - AIA Euro Put Wts Apr21 A | 68,000,000   | 2020/05/29 | 2021/04/23 10.54  |
| 12162    | Morgan Stanley Asia Products Ltd. - AIA Euro Put Wts Sep21 A | 68,000,000   | 2020/05/29 | 2021/09/23 10.20  |
| 12160    | Morgan Stanley Asia Products Ltd. - China Life Eu Wts Oct20A | 80,000,000   | 2020/05/29 | 2020/10/22 15.04  |



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|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 12168    | Morgan Stanley Asia Products Ltd. - Ch Mob Euro Wt Oct2020 C | 68,000,000   | 2020/05/29 | 2020/10/27 10.20  |
| 12166    | Morgan Stanley Asia Products Ltd. - HSBC European Wts Nov20A | 68,000,000   | 2020/05/29 | 2020/11/30 17.00  |
| 12169    | Morgan Stanley Asia Products Ltd. - SHK Ppt Euro Wts Apr21A  | 68,000,000   | 2020/05/29 | 2021/04/23 10.20  |
| 12172    | Morgan Stanley Asia Products Ltd. - SHK Ppt Eu Put Wt Apr21A | 68,000,000   | 2020/05/29 | 2021/04/15 17.00  |
| 12177    | UBS AG - Alibaba European Put Warrants Oct 2020 A            | 200,000,000  | 2020/05/29 | 2020/10/22 32.00  |
| 12176    | UBS AG - Alibaba European Put Warrants Dec 2020 A            | 200,000,000  | 2020/05/29 | 2020/12/14 30.00  |
| 12178    | UBS AG - Meituan European Warrants Oct 2020 A                | 100,000,000  | 2020/05/29 | 2020/10/23 19.60  |
| 12171    | Bank Vontobel - HKEX European Warrants Oct 2020 B            | 70,000,000   | 2020/05/29 | 2020/10/27 11.20  |
| 12170    | Bank Vontobel - HKEX European Warrants Mar 2021 A            | 70,000,000   | 2020/05/29 | 2021/03/26 10.50  |
| 12279    | BOCI Asia Ltd. - AIA European Warrants Sep 2020 B            | 70,000,000   | 2020/06/01 | 2020/09/30 16.10  |
| 12280    | BOCI Asia Ltd. - HSBC European Put Warrants Nov 2020 A       | 70,000,000   | 2020/06/01 | 2020/11/30 10.50  |
| 12284    | BOCI Asia Ltd. - SHK Ppt European Warrants Apr 2021 A        | 70,000,000   | 2020/06/01 | 2021/04/30 10.50  |
| 12384    | Credit Suisse AG - CNOOC European Warrants Jan 2021 A        | 80,000,000   | 2020/06/01 | 2021/01/22 12.00  |
| 12399    | Credit Suisse AG - Fosun Intl European Warrants Dec 2020 B   | 40,000,000   | 2020/06/01 | 2020/12/31 10.00  |
| 12367    | Credit Suisse AG - HSBC European Wts Nov 2020 A              | 100,000,000  | 2020/06/01 | 2020/11/30 25.00  |
| 12373    | Credit Suisse AG - HSBC European Put Warrants Nov 2020 A     | 80,000,000   | 2020/06/01 | 2020/11/23 12.00  |
| 12356    | Credit Suisse AG - HSI European Warrants Nov 2020 C          | 150,000,000  | 2020/06/01 | 2020/11/27 22.50  |
| 12364    | Credit Suisse AG - Link REIT European Warrants Dec 2020 B    | 50,000,000   | 2020/06/01 | 2020/12/11 12.50  |
| 12366    | Credit Suisse AG - Link REIT European Put Warrants Dec 2020A | 50,000,000   | 2020/06/01 | 2020/12/11 12.50  |
| 12381    | Credit Suisse AG - SHK Ppt European Put Warrants Aug 2021 A  | 80,000,000   | 2020/06/01 | 2021/08/31 20.00  |
| 12392    | Credit Suisse AG - Swire Pacific A European Warrants Nov20 A | 30,000,000   | 2020/06/01 | 2020/11/30 10.20  |
| 12383    | Credit Suisse AG - Yanzhou Coal European Warrants Nov 2020 A | 30,000,000   | 2020/06/01 | 2020/11/30 10.20  |
| 12294    | Citigroup Global - AIA European Warrants Sep 2020 D          | 100,000,000  | 2020/06/01 | 2020/09/23 23.20  |
| 12310    | Citigroup Global - Alibaba European Put Warrants Sep 2020 B  | 100,000,000  | 2020/06/01 | 2020/09/28 15.00  |
| 12323    | Citigroup Global - China Mobile European Warrants Sep 2020 D | 100,000,000  | 2020/06/01 | 2020/09/22 25.00  |
| 12297    | Citigroup Global - China Tower European Warrants May 2021 A  | 100,000,000  | 2020/06/01 | 2021/05/26 15.00  |
| 12304    | Citigroup Global - HSBC European Warrants Dec 2020 A         | 100,000,000  | 2020/06/01 | 2020/12/02 25.00  |
| 12442    | Goldman Sachs SP (Asia) - AIA European Warrants Sep 2020 E   | 80,000,000   | 2020/06/01 | 2020/09/23 15.36  |
| 12449    | Goldman Sachs SP (Asia) - HKEX European Put Wts Dec 2020 A   | 100,000,000  | 2020/06/01 | 2020/12/30 25.00  |
| 12421    | Goldman Sachs SP (Asia) - HSBC European Warrants Dec 2020 B  | 80,000,000   | 2020/06/01 | 2020/12/01 20.16  |
| 12436    | Goldman Sachs SP (Asia) - Tencent European Wts Nov 2020 B    | 150,000,000  | 2020/06/01 | 2020/11/25 25.50  |
| 12278    | HK Bank - HSI European Warrants Nov 2020 B                   | 200,000,000  | 2020/06/01 | 2020/11/27 30.00  |
| 12275    | HK Bank - HSI European Put Warrants Nov 2020 B               | 100,000,000  | 2020/06/01 | 2020/11/27 15.00  |
| 12259    | HK Bank - SHK Ppt European Warrants Apr 2021 A               | 100,000,000  | 2020/06/01 | 2021/04/23 15.00  |
| 12264    | HK Bank - Xiaomi European Warrants Apr 2021 A                | 100,000,000  | 2020/06/01 | 2021/04/23 15.00  |
| 12273    | HK Bank - Xiaomi European Warrants Sep 2021 A                | 100,000,000  | 2020/06/01 | 2021/09/27 15.00  |
| 12414    | Haitong Int'l Sec - Link REIT European Warrants Dec 2020 A   | 80,000,000   | 2020/06/01 | 2020/12/11 26.40  |
| 12415    | Haitong Int'l Sec - Link REIT European Put Wts Dec 2020 A    | 80,000,000   | 2020/06/01 | 2020/12/18 38.40  |
| 12418    | Haitong Int'l Sec - MTRC European Warrants Oct 2020 A        | 80,000,000   | 2020/06/01 | 2020/10/23 12.00  |
| 12406    | Haitong Int'l Sec - MTRC European Put Warrants Dec 2020 A    | 80,000,000   | 2020/06/01 | 2020/12/02 20.00  |
| 12315    | J P Morgan SP BV - BOC HK European Warrants Dec 2020 B       | 60,000,000   | 2020/06/01 | 2020/12/01 15.00  |
| 12321    | J P Morgan SP BV - HSBC European Put Warrants Nov 2020 A     | 100,000,000  | 2020/06/01 | 2020/11/30 15.10  |
| 12312    | J P Morgan SP BV - Hang Seng Bank European Warrants Jul21 A  | 80,000,000   | 2020/06/01 | 2021/07/30 20.08  |
| 12322    | J P Morgan SP BV - SHK Ppt European Warrants Apr 2021 A      | 80,000,000   | 2020/06/01 | 2021/04/30 12.08  |

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|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 12320    | J P Morgan SP BV - WH Group European Warrants Jun 2021 A     | 60,000,000   | 2020/06/01 | 2021/06/30 15.00  |
| 12292    | Morgan Stanley Asia Products Ltd. - Alibaba Euro Wts Sep20 D | 80,000,000   | 2020/06/01 | 2020/09/29 14.88  |
| 12289    | Morgan Stanley Asia Products Ltd. - Ch Mob Euro Wt Dec 2020A | 68,000,000   | 2020/06/01 | 2020/12/01 17.00  |
| 12296    | UBS AG - SHK Ppt European Warrants Apr 2021 A                | 80,000,000   | 2020/06/01 | 2021/04/23 12.00  |
| 12299    | UBS AG - Xiaomi European Warrants Dec 2020 D                 | 100,000,000  | 2020/06/01 | 2020/12/28 15.00  |
| 12325    | Bank Vontobel - Conch Cement European Warrants Oct 2020 A    | 30,000,000   | 2020/06/01 | 2020/10/23 11.40  |
| 12340    | Bank Vontobel - AIA European Warrants Sep 2020 B             | 50,000,000   | 2020/06/01 | 2020/09/23 10.00  |
| 12351    | Bank Vontobel - AIA European Put Warrants Sep 2021 A         | 70,000,000   | 2020/06/01 | 2021/09/23 10.50  |
| 12335    | Bank Vontobel - CNBM European Warrants Jan 2021 A            | 40,000,000   | 2020/06/01 | 2021/01/04 10.40  |
| 12352    | Bank Vontobel - HKEX European Put Warrants Jan 2021 A        | 30,000,000   | 2020/06/01 | 2021/01/04 10.20  |
| 12477    | BOCI Asia Ltd. - HKEX European Warrants Mar 2021 A           | 100,000,000  | 2020/06/02 | 2021/03/31 16.00  |
| 12547    | Credit Suisse AG - China Tower European Warrants May 2021 B  | 100,000,000  | 2020/06/02 | 2021/05/26 15.00  |
| 12546    | Credit Suisse AG - Meituan European Put Warrants Dec 2020 C  | 100,000,000  | 2020/06/02 | 2020/12/31 25.00  |
| 12551    | Credit Suisse AG - NCI European Warrants Oct 2020 A          | 70,000,000   | 2020/06/02 | 2020/10/22 10.50  |
| 12550    | Credit Suisse AG - Vitasoy Intl European Warrants Dec 2020 A | 40,000,000   | 2020/06/02 | 2020/12/01 10.80  |
| 12637    | Citigroup Global - China Tower European Warrants Mar 2021 A  | 100,000,000  | 2020/06/02 | 2021/03/31 15.00  |
| 12627    | Citigroup Global - Meituan European Warrants Dec 2020 C      | 100,000,000  | 2020/06/02 | 2020/12/18 25.00  |
| 12594    | Citigroup Global - Meituan European Warrants Feb 2021 A      | 100,000,000  | 2020/06/02 | 2021/02/25 25.00  |
| 12629    | Citigroup Global - Meituan European Put Warrants Dec 2020 A  | 100,000,000  | 2020/06/02 | 2020/12/02 25.00  |
| 12641    | Citigroup Global - Tencent European Put Warrants Nov 2020 B  | 100,000,000  | 2020/06/02 | 2020/11/18 18.20  |
| 12450    | Guotai Junan - HKEX European Put Warrants Nov 2020 A         | 100,000,000  | 2020/06/02 | 2020/11/06 19.80  |
| 12593    | Goldman Sachs SP (Asia) - CAM CSI300 European Wts Dec 2020 A | 80,000,000   | 2020/06/02 | 2020/12/30 20.00  |
| 12577    | Goldman Sachs SP (Asia) - Galaxy Ent European Wts Sep 2020 B | 80,000,000   | 2020/06/02 | 2020/09/02 12.00  |
| 12569    | Goldman Sachs SP (Asia) - Xiaomi European Wts Sep 2021 A     | 100,000,000  | 2020/06/02 | 2021/09/27 15.00  |
| 12562    | Haitong Int'l Sec - Meituan European Warrants Feb 2021 A     | 100,000,000  | 2020/06/02 | 2021/02/25 26.00  |
| 12566    | Haitong Int'l Sec - Meituan European Put Warrants Nov 2020 B | 100,000,000  | 2020/06/02 | 2020/11/24 16.00  |
| 12565    | Haitong Int'l Sec - SHK Ppt European Warrants Dec 2020 A     | 80,000,000   | 2020/06/02 | 2020/12/30 20.00  |
| 12513    | J P Morgan SP BV - Meituan European Warrants Dec 2020 E      | 200,000,000  | 2020/06/02 | 2020/12/31 50.00  |
| 12514    | J P Morgan SP BV - Meituan European Warrants Feb 2021 A      | 200,000,000  | 2020/06/02 | 2021/02/26 50.20  |
| 12503    | J P Morgan SP BV - Meituan European Put Warrants Dec 2020 D  | 100,000,000  | 2020/06/02 | 2020/12/31 25.00  |
| 12500    | J P Morgan SP BV - Meituan European Put Warrants Jan 2021 A  | 150,000,000  | 2020/06/02 | 2021/01/29 37.65  |
| 12523    | J P Morgan SP BV - Meituan European Put Warrants Apr 2021 A  | 100,000,000  | 2020/06/02 | 2021/04/23 15.00  |
| 12515    | J P Morgan SP BV - Tencent European Warrants Nov 2020 B      | 250,000,000  | 2020/06/02 | 2020/11/16 37.50  |
| 12481    | Morgan Stanley Asia Products Ltd. - HKEX European Wts Mar21A | 108,000,000  | 2020/06/02 | 2021/03/24 16.74  |
| 12484    | Morgan Stanley Asia Products Ltd. - HKEX Eu Put Wts Nov20 A  | 68,000,000   | 2020/06/02 | 2020/11/18 10.20  |
| 12464    | Morgan Stanley Asia Products Ltd. - Meituan Eu Put Wt Dec20B | 68,000,000   | 2020/06/02 | 2020/12/02 17.00  |
| 12494    | Morgan Stanley Asia Products Ltd. - Ping An Euro Wts Dec20 C | 58,000,000   | 2020/06/02 | 2020/12/02 14.50  |
| 12485    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Oct20 C | 98,000,000   | 2020/06/02 | 2020/10/05 20.09  |
| 12486    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Jan21 A | 98,000,000   | 2020/06/02 | 2021/01/26 16.17  |
| 12492    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Jan21 B | 80,000,000   | 2020/06/02 | 2021/01/28 12.08  |
| 12491    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Feb21 A | 98,000,000   | 2020/06/02 | 2021/02/25 14.80  |
| 12489    | Morgan Stanley Asia Products Ltd. - Tencent Eu Put Wt Dec20B | 80,000,000   | 2020/06/02 | 2020/12/30 12.64  |
| 12465    | SG Issuer - Galaxy Ent European Warrants Dec 2020 B          | 40,000,000   | 2020/06/02 | 2020/12/01 11.60  |
| 12471    | SG Issuer - Meituan European Warrants Dec 2020 E             | 80,000,000   | 2020/06/02 | 2020/12/31 20.00  |



# 主 板 認 股 權 證

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|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 12470    | SG Issuer - Meituan European Put Warrants Nov 2020 B         | 80,000,000   | 2020/06/02 | 2020/11/23 | 13.60 |
| 12469    | SG Issuer - Meituan European Put Warrants Dec 2020 B         | 150,000,000  | 2020/06/02 | 2020/12/31 | 37.50 |
| 12531    | UBS AG - China Tower European Warrants Dec 2020 A            | 70,000,000   | 2020/06/02 | 2020/12/28 | 10.50 |
| 12537    | UBS AG - HSBC European Put Warrants Nov 2020 A               | 100,000,000  | 2020/06/02 | 2020/11/23 | 15.00 |
| 12528    | UBS AG - Meituan European Warrants Jan 2021 A                | 100,000,000  | 2020/06/02 | 2021/01/11 | 25.00 |
| 12525    | UBS AG - Meituan European Put Warrants Dec 2020 B            | 100,000,000  | 2020/06/02 | 2020/12/07 | 25.00 |
| 12659    | Bank Vontobel - CC Bank European Warrants Mar 2021 A         | 40,000,000   | 2020/06/02 | 2021/03/05 | 10.00 |
| 12643    | Bank Vontobel - HKEX European Put Warrants Nov 2020 B        | 70,000,000   | 2020/06/02 | 2020/11/18 | 10.50 |
| 12662    | Bank Vontobel - HSBC European Put Warrants Dec 2020 A        | 50,000,000   | 2020/06/02 | 2020/12/21 | 10.05 |
| 12644    | Bank Vontobel - HSI European Put Warrants Mar 2021 A         | 80,000,000   | 2020/06/02 | 2021/03/30 | 21.68 |
| 12658    | Bank Vontobel - HSI European Put Warrants Mar 2021 B         | 80,000,000   | 2020/06/02 | 2021/03/30 | 20.00 |
| 12667    | Bank Vontobel - Meituan European Put Warrants Nov 2020 A     | 80,000,000   | 2020/06/02 | 2020/11/18 | 14.48 |
| 12729    | BOCI Asia Ltd. - CK Asset European Warrants Dec 2020 A       | 70,000,000   | 2020/06/03 | 2020/12/30 | 17.50 |
| 12730    | BOCI Asia Ltd. - Meituan European Put Warrants Nov 2020 B    | 100,000,000  | 2020/06/03 | 2020/11/19 | 16.00 |
| 12745    | Credit Suisse AG - CK Asset European Warrants Dec 2020 A     | 60,000,000   | 2020/06/03 | 2020/12/02 | 19.20 |
| 12743    | Credit Suisse AG - Hang Seng Bank European Wts Jan 2021 A    | 80,000,000   | 2020/06/03 | 2021/01/29 | 20.00 |
| 12741    | Credit Suisse AG - Meituan European Warrants Dec 2020 E      | 150,000,000  | 2020/06/03 | 2020/12/02 | 37.50 |
| 12742    | Credit Suisse AG - Meituan European Warrants Dec 2020 F      | 150,000,000  | 2020/06/03 | 2020/12/31 | 37.50 |
| 12744    | Credit Suisse AG - Ping An European Warrants Dec 2020 C      | 150,000,000  | 2020/06/03 | 2020/12/02 | 37.50 |
| 12747    | Credit Suisse AG - WH Group European Warrants Apr 2021 A     | 60,000,000   | 2020/06/03 | 2021/04/30 | 15.00 |
| 12740    | Goldman Sachs SP (Asia) - HSBC European Warrants Dec 2020 C  | 80,000,000   | 2020/06/03 | 2020/12/22 | 12.00 |
| 12735    | Goldman Sachs SP (Asia) - Meituan European Wts Dec 2020 E    | 80,000,000   | 2020/06/03 | 2020/12/30 | 20.00 |
| 12736    | Goldman Sachs SP (Asia) - Meituan Euro Put Wts Nov 2020 C    | 80,000,000   | 2020/06/03 | 2020/11/18 | 13.52 |
| 12682    | HK Bank - HKEX European Warrants Apr 2021 A                  | 100,000,000  | 2020/06/03 | 2021/04/30 | 25.00 |
| 12673    | HK Bank - Meituan European Warrants Dec 2020 D               | 80,000,000   | 2020/06/03 | 2020/12/02 | 20.00 |
| 12674    | HK Bank - Meituan European Warrants Apr 2021 A               | 100,000,000  | 2020/06/03 | 2021/04/30 | 25.00 |
| 12733    | J P Morgan SP BV - CSPC Pharma European Warrants Dec 2020 A  | 70,000,000   | 2020/06/03 | 2020/12/30 | 10.64 |
| 12726    | Morgan Stanley Asia Products Ltd. - HSBC Euro Put Wts Dec20A | 68,000,000   | 2020/06/03 | 2020/12/22 | 12.24 |
| 12724    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Dec 20D | 80,000,000   | 2020/06/03 | 2020/12/07 | 20.00 |
| 12721    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Mar 21A | 108,000,000  | 2020/06/03 | 2021/03/01 | 31.43 |
| 12668    | SG Issuer - HSI European Warrants Oct 2020 A                 | 300,000,000  | 2020/06/03 | 2020/10/29 | 45.00 |
| 12671    | SG Issuer - HSI European Warrants Nov 2020 B                 | 300,000,000  | 2020/06/03 | 2020/11/27 | 45.00 |
| 12690    | UBS AG - HKEX European Warrants Dec 2020 A                   | 300,000,000  | 2020/06/03 | 2020/12/23 | 45.00 |
| 12695    | UBS AG - HKEX European Put Warrants Nov 2020 B               | 300,000,000  | 2020/06/03 | 2020/11/18 | 45.00 |
| 12683    | UBS AG - Meituan European Warrants Dec 2020 D                | 100,000,000  | 2020/06/03 | 2020/12/30 | 25.00 |
| 12691    | UBS AG - Tencent European Warrants Jan 2021 A                | 300,000,000  | 2020/06/03 | 2021/01/26 | 45.00 |
| 12675    | Bank Vontobel - AAC Tech European Warrants Jan 2021 A        | 30,000,000   | 2020/06/03 | 2021/01/04 | 10.23 |
| 12697    | Bank Vontobel - China Life European Warrants Jan 2021 B      | 80,000,000   | 2020/06/03 | 2021/01/08 | 20.00 |
| 12696    | Bank Vontobel - China Life European Warrants Mar 2021 B      | 80,000,000   | 2020/06/03 | 2021/03/19 | 20.00 |
| 12679    | Bank Vontobel - China Overseas European Warrants Dec 2020 A  | 70,000,000   | 2020/06/03 | 2020/12/23 | 10.50 |
| 12681    | Bank Vontobel - China Unicom European Warrants Jan 2021 A    | 30,000,000   | 2020/06/03 | 2021/01/04 | 10.23 |
| 12677    | Bank Vontobel - Meituan European Warrants Jan 2021 A         | 80,000,000   | 2020/06/03 | 2021/01/11 | 20.00 |
| 12680    | Bank Vontobel - SJM Holdings European Warrants Mar 2021 A    | 70,000,000   | 2020/06/03 | 2021/03/15 | 10.50 |
| 12701    | Bank Vontobel - SMIC European Warrants Mar 2021 A            | 40,000,000   | 2020/06/03 | 2021/03/12 | 12.44 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 12854    | BNP Paribas Issuance B.V. - AAC Tech Euro Wts Oct 2020 B     | 50,000,000   | 2020/06/04 | 2020/10/06 10.00  |
| 12853    | BNP Paribas Issuance B.V. - Alibaba European Wts Nov 2020 D  | 70,000,000   | 2020/06/04 | 2020/11/03 10.50  |
| 12846    | BNP Paribas Issuance B.V. - HSBC European Wts Nov 2020 B     | 70,000,000   | 2020/06/04 | 2020/11/03 10.50  |
| 12841    | BNP Paribas Issuance B.V. - SMIC European Wts Oct 2020 B     | 70,000,000   | 2020/06/04 | 2020/10/06 11.90  |
| 12887    | Credit Suisse AG - Alibaba European Warrants Mar 2021 A      | 200,000,000  | 2020/06/04 | 2021/03/24 30.00  |
| 12899    | Credit Suisse AG - CK Asset European Put Warrants Dec 2020 A | 40,000,000   | 2020/06/04 | 2020/12/03 10.00  |
| 12877    | Credit Suisse AG - Ping An European Warrants Dec 2021 C      | 300,000,000  | 2020/06/04 | 2021/12/23 57.00  |
| 12880    | Credit Suisse AG - SJM Holdings European Warrants Mar 2021 A | 80,000,000   | 2020/06/04 | 2021/03/15 12.00  |
| 12886    | Credit Suisse AG - Tencent European Wts Nov 2020 D           | 250,000,000  | 2020/06/04 | 2020/11/25 37.50  |
| 12882    | Credit Suisse AG - Tencent European Wts Dec 2020 A           | 250,000,000  | 2020/06/04 | 2020/12/18 37.50  |
| 12900    | Goldman Sachs SP (Asia) - CC Bank European Wts Oct 2020 A    | 80,000,000   | 2020/06/04 | 2020/10/22 12.96  |
| 12905    | Goldman Sachs SP (Asia) - Meituan Euro Warrants Dec 2020 F   | 80,000,000   | 2020/06/04 | 2020/12/18 20.00  |
| 12912    | Goldman Sachs SP (Asia) - Meituan Euro Put Wts Dec 2020 B    | 80,000,000   | 2020/06/04 | 2020/12/04 20.00  |
| 12770    | HK Bank - CSPC Pharma European Warrants Dec 2020 B           | 100,000,000  | 2020/06/04 | 2020/12/23 15.00  |
| 12755    | HK Bank - Meituan Dianping European Put Warrants Apr 2021 A  | 100,000,000  | 2020/06/04 | 2021/04/23 15.00  |
| 12748    | HK Bank - Tencent European Warrants Oct 2020 B               | 100,000,000  | 2020/06/04 | 2020/10/27 20.00  |
| 12876    | Haitong Int'l Sec - CC Bank European Warrants Oct 2020 A     | 100,000,000  | 2020/06/04 | 2020/10/23 21.00  |
| 12868    | J P Morgan SP BV - ZTE European Warrants Nov 2020 B          | 60,000,000   | 2020/06/04 | 2020/11/06 14.40  |
| 12785    | Macquarie Bank Ltd. - Alibaba European Warrants Dec 2020 E   | 10,000,000   | 2020/06/04 | 2020/12/04 10.81  |
| 12836    | Macquarie Bank Ltd. - Sinopec Corp European Wts Dec 2020 A   | 40,000,000   | 2020/06/04 | 2020/12/18 10.00  |
| 12831    | Macquarie Bank Ltd. - China Tel European Warrants Apr 2021 A | 40,000,000   | 2020/06/04 | 2021/04/07 10.00  |
| 12786    | Macquarie Bank Ltd. - HEC Pharm European Warrants Jul 2021 A | 11,500,000   | 2020/06/04 | 2021/07/09 10.06  |
| 12790    | Macquarie Bank Ltd. - Meituan European Warrants Jan 2021 D   | 40,000,000   | 2020/06/04 | 2021/01/05 10.12  |
| 12802    | Macquarie Bank Ltd. - Meituan European Warrants Jul 2021 B   | 40,000,000   | 2020/06/04 | 2021/07/05 10.16  |
| 12797    | Macquarie Bank Ltd. - Meituan European Warrants Jan 2022 C   | 40,000,000   | 2020/06/04 | 2022/01/04 10.36  |
| 12812    | Macquarie Bank Ltd. - Meituan Euro Put Warrants Mar 2021 A   | 40,000,000   | 2020/06/04 | 2021/03/02 10.28  |
| 12832    | Macquarie Bank Ltd. - PA Gooddoctor European Wts Jan 2021 B  | 40,000,000   | 2020/06/04 | 2021/01/05 10.24  |
| 12771    | Macquarie Bank Ltd. - Ping An European Warrants Dec 2020 C   | 23,000,000   | 2020/06/04 | 2020/12/04 10.01  |
| 12774    | Macquarie Bank Ltd. - Ping An European Warrants Dec 2020 D   | 25,000,000   | 2020/06/04 | 2020/12/04 10.00  |
| 12837    | Macquarie Bank Ltd. - SD Gold European Warrants Dec 2020 A   | 40,000,000   | 2020/06/04 | 2020/12/16 10.04  |
| 12822    | Macquarie Bank Ltd. - Xiaomi European Warrants Apr 2021 B    | 40,000,000   | 2020/06/04 | 2021/04/07 10.20  |
| 12787    | Macquarie Bank Ltd. - Yihai Intl European Warrants Jul 2021A | 26,000,000   | 2020/06/04 | 2021/07/09 10.06  |
| 12861    | Morgan Stanley Asia Products Ltd. - AIA Euro Wts Oct 2020 B  | 88,000,000   | 2020/06/04 | 2020/10/05 13.64  |
| 12864    | Morgan Stanley Asia Products Ltd. - CCB Euro Wts Nov 2020 B  | 88,000,000   | 2020/06/04 | 2020/11/23 15.22  |
| 12863    | Morgan Stanley Asia Products Ltd. - Galaxy Eu Wts Dec 2020 B | 68,000,000   | 2020/06/04 | 2020/12/07 18.77  |
| 12860    | Morgan Stanley Asia Products Ltd. - Ping An Euro Wts Dec 20D | 88,000,000   | 2020/06/04 | 2020/12/01 14.43  |
| 12856    | Morgan Stanley Asia Products Ltd. - ZTE Euro Wts Nov 2020 A  | 88,000,000   | 2020/06/04 | 2020/11/05 14.96  |
| 12875    | SG Issuer - HSCEI European Warrants Sep 2020 A               | 150,000,000  | 2020/06/04 | 2020/09/29 22.50  |
| 12870    | SG Issuer - HSI European Put Warrants Sep 2020 D             | 300,000,000  | 2020/06/04 | 2020/09/29 48.00  |
| 12913    | UBS AG - Ali Health European Warrants Oct 2020 A             | 60,000,000   | 2020/06/04 | 2020/10/22 15.00  |
| 12926    | BNP Paribas Issuance B.V. - HKEX European Wts Jan 2021 B     | 40,000,000   | 2020/06/05 | 2021/01/05 10.80  |
| 12916    | BNP Paribas Issuance B.V. - Tencent European Wts Jan 2021 D  | 80,000,000   | 2020/06/05 | 2021/01/05 21.60  |
| 13020    | Credit Suisse AG - Alibaba European Warrants Oct 2020 E      | 200,000,000  | 2020/06/05 | 2020/10/27 30.00  |
| 13022    | Credit Suisse AG - Geely Auto European Warrants Dec 2020 C   | 100,000,000  | 2020/06/05 | 2020/12/31 25.00  |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                          | 上市時之<br>發行單位 | 上市日期       | 到期日(百萬港元)  | 集資金額  |
|----------|---------------------------------------------------------------|--------------|------------|------------|-------|
| 13021    | Credit Suisse AG - Geely Auto European Put Wts Jan 2021 A     | 50,000,000   | 2020/06/05 | 2021/01/29 | 12.50 |
| 12946    | Guotai Junan - China Mobile European Warrants Nov 2020 A      | 100,000,000  | 2020/06/05 | 2020/11/06 | 18.30 |
| 12944    | Guotai Junan - Ping An European Warrants Dec 2020 A           | 100,000,000  | 2020/06/05 | 2020/12/04 | 19.50 |
| 12938    | Guotai Junan - Xiaomi European Warrants Jan 2021 A            | 100,000,000  | 2020/06/05 | 2021/01/08 | 20.10 |
| 13025    | Goldman Sachs SP (Asia) - Alibaba European Wts Mar 2021 A     | 150,000,000  | 2020/06/05 | 2021/03/24 | 24.45 |
| 13024    | Goldman Sachs SP (Asia) - Bank of China Euro Wts Dec 2020 A   | 80,000,000   | 2020/06/05 | 2020/12/23 | 12.00 |
| 13023    | Goldman Sachs SP (Asia) - HSBC European Put Wts Nov 2020 A    | 80,000,000   | 2020/06/05 | 2020/11/23 | 12.00 |
| 13027    | Goldman Sachs SP (Asia) - Tencent European Wts Nov 2020 C     | 150,000,000  | 2020/06/05 | 2020/11/18 | 40.35 |
| 12997    | HK Bank - Geely Auto European Warrants Dec 2020 B             | 100,000,000  | 2020/06/05 | 2020/12/23 | 15.00 |
| 12989    | Macquarie Bank Ltd. - HKEX European Warrants Jan 2021 A       | 40,000,000   | 2020/06/05 | 2021/01/05 | 10.12 |
| 12993    | Macquarie Bank Ltd. - HKEX European Put Warrants Jul 2021 A   | 40,000,000   | 2020/06/05 | 2021/07/05 | 10.20 |
| 12985    | Macquarie Bank Ltd. - MGM China European Warrants Apr 2021 A  | 33,000,000   | 2020/06/05 | 2021/04/07 | 10.07 |
| 12995    | Macquarie Bank Ltd. - MTRC European Warrants Apr 2021 A       | 40,000,000   | 2020/06/05 | 2021/04/07 | 10.08 |
| 13007    | Macquarie Bank Ltd. - Tencent European Warrants Dec 2020 E    | 30,000,000   | 2020/06/05 | 2020/12/28 | 13.80 |
| 13011    | Macquarie Bank Ltd. - Tencent European Warrants Dec 2020 F    | 37,000,000   | 2020/06/05 | 2020/12/28 | 10.03 |
| 13009    | Macquarie Bank Ltd. - Tencent European Put Wts Dec 2020 B     | 30,000,000   | 2020/06/05 | 2020/12/28 | 10.59 |
| 12969    | Morgan Stanley Asia Products Ltd. - Alibaba Euro Wts Oct20 F  | 88,000,000   | 2020/06/05 | 2020/10/23 | 13.29 |
| 12977    | Morgan Stanley Asia Products Ltd. - Alibaba Euro Wts Nov20 B  | 68,000,000   | 2020/06/05 | 2020/11/02 | 10.34 |
| 12984    | Morgan Stanley Asia Products Ltd. - Alibaba Euro Wts Dec20 A  | 68,000,000   | 2020/06/05 | 2020/12/07 | 18.43 |
| 12999    | Morgan Stanley Asia Products Ltd. - Country Gdn Eu Wt Jan21A  | 68,000,000   | 2020/06/05 | 2021/01/04 | 10.27 |
| 13005    | Morgan Stanley Asia Products Ltd. - Ch Overseas Eu Wt Nov20A  | 58,000,000   | 2020/06/05 | 2020/11/25 | 10.32 |
| 13002    | Morgan Stanley Asia Products Ltd. - Ch Res Land Eu Wt Nov20A  | 68,000,000   | 2020/06/05 | 2020/11/30 | 10.61 |
| 12965    | Morgan Stanley Asia Products Ltd. - China Tower Eu Wt Jun21A  | 68,000,000   | 2020/06/05 | 2021/06/25 | 10.61 |
| 12962    | Morgan Stanley Asia Products Ltd. - Geely Auto Eu Wt Dec20 B  | 68,000,000   | 2020/06/05 | 2020/12/23 | 11.70 |
| 12966    | Morgan Stanley Asia Products Ltd. - Link Euro Wt Dec 2021 B   | 68,000,000   | 2020/06/05 | 2021/12/23 | 10.47 |
| 13004    | Morgan Stanley Asia Products Ltd. - SinoBiopharm Eu Wt Jul21A | 68,000,000   | 2020/06/05 | 2021/07/09 | 10.68 |
| 12953    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Nov20 B  | 88,000,000   | 2020/06/05 | 2020/11/20 | 23.76 |
| 12960    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Nov20 C  | 88,000,000   | 2020/06/05 | 2020/11/25 | 13.38 |
| 12954    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Jan21 C  | 88,000,000   | 2020/06/05 | 2021/01/15 | 22.53 |
| 12961    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Feb21 B  | 88,000,000   | 2020/06/05 | 2021/02/16 | 22.44 |
| 12931    | SG Issuer - Geely Auto European Warrants Sep 2020 A           | 50,000,000   | 2020/06/05 | 2020/09/23 | 11.75 |
| 12935    | SG Issuer - Link REIT European Warrants Dec 2020 A            | 40,000,000   | 2020/06/05 | 2020/12/11 | 10.00 |
| 12933    | SG Issuer - MTR Corporation European Warrants Dec 2020 A      | 60,000,000   | 2020/06/05 | 2020/12/04 | 15.00 |
| 13013    | UBS AG - CC Bank European Warrants Nov 2020 A                 | 70,000,000   | 2020/06/05 | 2020/11/20 | 10.50 |
| 13012    | UBS AG - HSBC European Warrants Nov 2020 A                    | 100,000,000  | 2020/06/05 | 2020/11/23 | 15.00 |
| 13014    | UBS AG - Tencent European Warrants Nov 2020 B                 | 300,000,000  | 2020/06/05 | 2020/11/25 | 45.00 |
| 13016    | Bank Vontobel - Hang Seng Bank European Warrants Jan 2021 A   | 40,000,000   | 2020/06/05 | 2021/01/29 | 10.00 |
| 13127    | BOCI Asia Ltd. - CC Bank European Warrants Oct 2020 A         | 70,000,000   | 2020/06/08 | 2020/10/30 | 10.50 |
| 13134    | BOCI Asia Ltd. - Galaxy Ent European Warrants Nov 2020 A      | 70,000,000   | 2020/06/08 | 2020/11/30 | 12.60 |
| 13125    | BOCI Asia Ltd. - Link REIT European Warrants Dec 2020 A       | 60,000,000   | 2020/06/08 | 2020/12/30 | 15.00 |
| 13124    | BOCI Asia Ltd. - Meituan European Warrants Dec 2020 E         | 100,000,000  | 2020/06/08 | 2020/12/08 | 25.00 |
| 13120    | BNP Paribas Issuance B.V. - Alibaba European Wts Nov 2020 E   | 60,000,000   | 2020/06/08 | 2020/11/03 | 13.80 |
| 13087    | BNP Paribas Issuance B.V. - HKEX European Wts Nov 2020 C      | 60,000,000   | 2020/06/08 | 2020/11/03 | 10.20 |
| 13116    | BNP Paribas Issuance B.V. - HKEX European Wts Feb 2021 B      | 40,000,000   | 2020/06/08 | 2021/02/02 | 10.40 |

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| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 13117    | BNP Paribas Issuance B.V. - HKEX European Wts Mar 2021 A     | 40,000,000   | 2020/06/08 | 2021/03/02 10.00  |
| 13068    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Jan 2021 E | 60,000,000   | 2020/06/08 | 2021/01/05 15.00  |
| 13102    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Feb 2021 B | 60,000,000   | 2020/06/08 | 2021/02/02 15.00  |
| 13121    | BNP Paribas Issuance B.V. - Meituan Euro Warrants May 2021 A | 60,000,000   | 2020/06/08 | 2021/05/04 15.00  |
| 13084    | BNP Paribas Issuance B.V. - Xiaomi Euro Warrants Oct 2020 C  | 70,000,000   | 2020/06/08 | 2020/10/06 10.50  |
| 13119    | BNP Paribas Issuance B.V. - Xiaomi Euro Warrants Oct 2020 D  | 60,000,000   | 2020/06/08 | 2020/10/06 10.20  |
| 13170    | Credit Suisse AG - AIA European Warrants Oct 2020 A          | 70,000,000   | 2020/06/08 | 2020/10/27 10.50  |
| 13182    | Credit Suisse AG - Country Garden Euro Warrants Dec 2020 A   | 40,000,000   | 2020/06/08 | 2020/12/07 10.00  |
| 13189    | Credit Suisse AG - Meituan European Warrants Dec 2020 G      | 150,000,000  | 2020/06/08 | 2020/12/07 37.50  |
| 13161    | Credit Suisse AG - Meituan European Put Warrants Dec 2020 D  | 100,000,000  | 2020/06/08 | 2020/12/31 25.00  |
| 13188    | Credit Suisse AG - Sino Biopharm European Wts Dec 2020 A     | 60,000,000   | 2020/06/08 | 2020/12/07 15.00  |
| 13171    | Credit Suisse AG - SwireProperties European Warrants Dec20 B | 40,000,000   | 2020/06/08 | 2020/12/07 10.00  |
| 13187    | Credit Suisse AG - Shenzhen Int'l European Wts Dec 2020 A    | 40,000,000   | 2020/06/08 | 2020/12/07 10.00  |
| 13104    | Guotai Junan - HKEX European Warrants Jan 2021 A             | 100,000,000  | 2020/06/08 | 2021/01/08 25.00  |
| 13103    | Guotai Junan - Meituan European Warrants Jan 2021 A          | 100,000,000  | 2020/06/08 | 2021/01/08 25.00  |
| 13196    | Goldman Sachs SP (Asia) - Alibaba European Wts Oct 2020 E    | 100,000,000  | 2020/06/08 | 2020/10/23 15.00  |
| 13195    | Goldman Sachs SP (Asia) - Geely Auto European Wts Dec 2020 B | 80,000,000   | 2020/06/08 | 2020/12/23 12.00  |
| 13204    | Goldman Sachs SP (Asia) - Tencent European Wts Nov 2020 D    | 150,000,000  | 2020/06/08 | 2020/11/25 26.40  |
| 13034    | HK Bank - HSI European Put Warrants Oct 2020 C               | 200,000,000  | 2020/06/08 | 2020/10/29 30.00  |
| 13036    | HK Bank - HSI European Put Warrants Dec 2020 C               | 200,000,000  | 2020/06/08 | 2020/12/30 50.00  |
| 13193    | Haitong Int'l Sec - Beigene European Warrants Dec 2020 A     | 120,000,000  | 2020/06/08 | 2020/12/30 31.20  |
| 13191    | Haitong Int'l Sec - Innovent Bio European Warrants Apr 2021A | 40,000,000   | 2020/06/08 | 2021/04/30 10.00  |
| 13190    | Haitong Int'l Sec - Meituan European Put Warrants Jan 2021 A | 120,000,000  | 2020/06/08 | 2021/01/28 30.00  |
| 13154    | J P Morgan SP BV - Conch Cement European Warrants Dec 2020 A | 60,000,000   | 2020/06/08 | 2020/12/07 15.72  |
| 13160    | J P Morgan SP BV - Evergrande European Warrants Nov 2020 A   | 70,000,000   | 2020/06/08 | 2020/11/03 10.57  |
| 13156    | J P Morgan SP BV - Galaxy Ent European Warrants Nov 2020 A   | 60,000,000   | 2020/06/08 | 2020/11/30 13.74  |
| 13150    | J P Morgan SP BV - HKEX European Warrants Jan 2021 A         | 200,000,000  | 2020/06/08 | 2021/01/29 50.00  |
| 13141    | J P Morgan SP BV - HKEX European Put Wts Dec 2020 A          | 200,000,000  | 2020/06/08 | 2020/12/07 50.80  |
| 13144    | J P Morgan SP BV - Meituan European Warrants Mar 2021 A      | 200,000,000  | 2020/06/08 | 2021/03/05 50.20  |
| 13142    | J P Morgan SP BV - Meituan European Put Warrants Dec 2020 E  | 150,000,000  | 2020/06/08 | 2020/12/07 38.55  |
| 13155    | J P Morgan SP BV - Sino Biopharm European Warrants Jul 2021A | 60,000,000   | 2020/06/08 | 2021/07/09 10.38  |
| 13051    | Macquarie Bank Ltd. - Meituan European Warrants Feb 2021 B   | 36,000,000   | 2020/06/08 | 2021/02/02 10.26  |
| 13052    | Macquarie Bank Ltd. - Meituan European Put Warrants Oct21 A  | 38,000,000   | 2020/06/08 | 2021/10/05 10.03  |
| 13057    | Macquarie Bank Ltd. - Tencent European Warrants Jan 2021 B   | 31,000,000   | 2020/06/08 | 2021/01/04 10.04  |
| 13054    | Macquarie Bank Ltd. - WH Group European Warrants Aug 2021 A  | 40,000,000   | 2020/06/08 | 2021/08/03 10.00  |
| 13105    | Morgan Stanley Asia Products Ltd. - HSI Euro Put Wts Dec20 A | 180,000,000  | 2020/06/08 | 2020/12/30 45.18  |
| 13110    | Morgan Stanley Asia Products Ltd. - HSI Euro Put Wts Dec20 B | 180,000,000  | 2020/06/08 | 2020/12/30 46.08  |
| 13140    | SG Issuer - HKEX European Put Warrants Dec 2020 A            | 150,000,000  | 2020/06/08 | 2020/12/22 22.50  |
| 13114    | UBS AG - BYD Company European Warrants Mar 2021 A            | 150,000,000  | 2020/06/08 | 2021/03/25 22.50  |
| 13113    | UBS AG - China Mobile European Warrants Nov 2020 A           | 100,000,000  | 2020/06/08 | 2020/11/24 15.00  |
| 13111    | UBS AG - HSI European Warrants Nov 2020 A                    | 300,000,000  | 2020/06/08 | 2020/11/27 45.00  |
| 13115    | UBS AG - Link REIT European Warrants Dec 2020 A              | 60,000,000   | 2020/06/08 | 2020/12/04 10.02  |
| 13139    | Bank Vontobel - CKH Holdings European Warrants Dec 2020 A    | 35,000,000   | 2020/06/08 | 2020/12/07 10.50  |
| 13137    | Bank Vontobel - Meituan European Put Warrants Dec 2020 B     | 60,000,000   | 2020/06/08 | 2020/12/07 15.00  |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                          | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|---------------------------------------------------------------|--------------|------------|-------------------|
| 11497#   | Credit Suisse AG - Meituan European Put Warrants Nov 2020 B   | 90,000,000   | 2020/06/08 | 2020/11/25 10.17  |
| 13230    | BOCI Asia Ltd. - Alibaba European Put Warrants Dec 2020 B     | 100,000,000  | 2020/06/09 | 2020/12/21 15.00  |
| 13217    | BOCI Asia Ltd. - China Mobile European Warrants Nov 2020 A    | 70,000,000   | 2020/06/09 | 2020/11/30 10.50  |
| 13227    | BOCI Asia Ltd. - HKEX European Put Warrants Dec 2020 C        | 100,000,000  | 2020/06/09 | 2020/12/31 15.00  |
| 13270    | BOCI Asia Ltd. - Meituan European Put Warrants Jan 2021 A     | 100,000,000  | 2020/06/09 | 2021/01/04 15.00  |
| 13232    | BOCI Asia Ltd. - Tencent European Put Wts Nov 2020 A          | 100,000,000  | 2020/06/09 | 2020/11/30 18.00  |
| 13322    | BNP Paribas Issuance B.V. - SUNAC European Wts Jan 2021 A     | 40,000,000   | 2020/06/09 | 2021/01/05 11.20  |
| 13323    | BNP Paribas Issuance B.V. - Tencent Eu Put Wt Nov 2020 A      | 80,000,000   | 2020/06/09 | 2020/11/03 12.00  |
| 13330    | Credit Suisse AG - China Res Beer European Warrants Dec20 A   | 30,000,000   | 2020/06/09 | 2020/12/08 10.20  |
| 13333    | Credit Suisse AG - China South Air European Wts Dec 2020 A    | 30,000,000   | 2020/06/09 | 2020/12/08 12.90  |
| 13332    | Credit Suisse AG - Hengan Intl European Warrants Dec 2020 A   | 30,000,000   | 2020/06/09 | 2020/12/08 10.20  |
| 13338    | Credit Suisse AG - HKEX European Warrants Dec 2020 C          | 150,000,000  | 2020/06/09 | 2020/12/08 37.50  |
| 13328    | Credit Suisse AG - HKEX European Put Warrants Dec 2020 A      | 100,000,000  | 2020/06/09 | 2020/12/22 15.00  |
| 13337    | Credit Suisse AG - Hansoh Pharma European Warrants Dec2020 A  | 30,000,000   | 2020/06/09 | 2020/12/08 10.20  |
| 13327    | Credit Suisse AG - Meituan European Warrants Dec 2020 H       | 150,000,000  | 2020/06/09 | 2020/12/08 37.50  |
| 13341    | Goldman Sachs SP (Asia) - ICBC European Warrants Nov 2020 A   | 80,000,000   | 2020/06/09 | 2020/11/03 12.00  |
| 13343    | Goldman Sachs SP (Asia) - Tencent European Put Wt Sep 2020 D  | 100,000,000  | 2020/06/09 | 2020/09/18 15.00  |
| 13236    | HK Bank - HSI European Warrants Dec 2020 B                    | 180,000,000  | 2020/06/09 | 2020/12/30 27.00  |
| 13234    | HK Bank - Meituan Dianping European Put Warrants Dec 2020 C   | 80,000,000   | 2020/06/09 | 2020/12/23 12.00  |
| 13237    | HK Bank - Tencent European Warrants Dec 2020 A                | 80,000,000   | 2020/06/09 | 2020/12/18 12.00  |
| 13321    | Haitong Int'l Sec - HKEX European Warrants Sep 2020 A         | 100,000,000  | 2020/06/09 | 2020/09/28 15.00  |
| 13312    | Haitong Int'l Sec - SHK Ppt European Put Warrants May 2021 A  | 100,000,000  | 2020/06/09 | 2021/05/24 19.00  |
| 13307    | J P Morgan SP BV - Sinopec Corp European Warrants Dec 2020 A  | 60,000,000   | 2020/06/09 | 2020/12/31 19.02  |
| 13306    | J P Morgan SP BV - Li Ning European Warrants Dec 2020 A       | 60,000,000   | 2020/06/09 | 2020/12/08 18.66  |
| 13305    | J P Morgan SP BV - SMIC European Wts Dec 2020 B               | 60,000,000   | 2020/06/09 | 2020/12/31 15.06  |
| 13250    | Macquarie Bank Ltd. - Meituan European Warrants Jan 2022 D    | 40,000,000   | 2020/06/09 | 2022/01/04 10.60  |
| 13239    | Macquarie Bank Ltd. - Meituan European Put Warrants Jan21B    | 40,000,000   | 2020/06/09 | 2021/01/05 10.00  |
| 13251    | Macquarie Bank Ltd. - SJM Holdings European Wts May 2021 A    | 39,000,000   | 2020/06/09 | 2021/05/18 10.06  |
| 13252    | Macquarie Bank Ltd. - Tencent European Put Wts Jan 2021 A     | 25,000,000   | 2020/06/09 | 2021/01/04 24.03  |
| 13255    | Macquarie Bank Ltd. - Xiaomi European Warrants Mar 2021 C     | 40,000,000   | 2020/06/09 | 2021/03/02 10.92  |
| 13256    | Macquarie Bank Ltd. - Xiaomi European Warrants Apr 2022 A     | 40,000,000   | 2020/06/09 | 2022/04/04 10.00  |
| 13308    | Morgan Stanley Asia Products Ltd. - CSOP A50 ETF Eu Wt Jan21A | 68,000,000   | 2020/06/09 | 2021/01/11 10.20  |
| 13260    | SG Issuer - Alibaba European Put Warrants Oct 2020 A          | 150,000,000  | 2020/06/09 | 2020/10/22 22.50  |
| 13263    | SG Issuer - Alibaba European Put Warrants Dec 2020 A          | 150,000,000  | 2020/06/09 | 2020/12/14 22.50  |
| 13265    | SG Issuer - HKEX European Warrants Sep 2020 D                 | 80,000,000   | 2020/06/09 | 2020/09/25 12.00  |
| 13268    | SG Issuer - HKEX European Warrants Dec 2020 D                 | 80,000,000   | 2020/06/09 | 2020/12/31 20.00  |
| 13279    | UBS AG - HKEX European Warrants Sep 2020 C                    | 150,000,000  | 2020/06/09 | 2020/09/25 22.50  |
| 13275    | UBS AG - HKEX European Put Warrants Dec 2020 A                | 300,000,000  | 2020/06/09 | 2020/12/08 75.00  |
| 13272    | UBS AG - Meituan European Warrants Dec 2020 E                 | 100,000,000  | 2020/06/09 | 2020/12/08 25.00  |
| 13281    | UBS AG - Meituan European Put Warrants Dec 2020 C             | 200,000,000  | 2020/06/09 | 2020/12/23 30.00  |
| 13311    | Bank Vontobel - Meituan European Warrants Mar 2021 A          | 80,000,000   | 2020/06/09 | 2021/03/02 20.00  |
| 24466#   | Credit Suisse AG - HSI European Put Warrants Oct 2020 B       | 150,000,000  | 2020/06/09 | 2020/10/29 10.50  |
| 13409    | BOCI Asia Ltd. - Meituan European Warrants Dec 2020 F         | 100,000,000  | 2020/06/10 | 2020/12/10 25.00  |
| 13454    | BNP Paribas Issuance B.V. - China Life Euro Wts Oct 2020 C    | 70,000,000   | 2020/06/10 | 2020/10/06 11.90  |



# 主 板 認 股 權 證

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|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 13469    | BNP Paribas Issuance B.V. - Galaxy Ent Euro Wts Nov 2020 A   | 40,000,000   | 2020/06/10 | 2020/11/03 18.00  |
| 13457    | BNP Paribas Issuance B.V. - HKEX European Wts Dec 2020 C     | 70,000,000   | 2020/06/10 | 2020/12/02 11.20  |
| 13456    | BNP Paribas Issuance B.V. - HKEX European Wts Apr 2021 C     | 40,000,000   | 2020/06/10 | 2021/04/07 10.00  |
| 13459    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Dec 2020 B | 60,000,000   | 2020/06/10 | 2020/12/02 21.60  |
| 13466    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Jan 2021 F | 60,000,000   | 2020/06/10 | 2021/01/05 15.00  |
| 13467    | BNP Paribas Issuance B.V. - Meituan Euro Warrants May 2021 B | 60,000,000   | 2020/06/10 | 2021/05/04 15.60  |
| 13455    | BNP Paribas Issuance B.V. - Tencent European Wts Jan 2021 E  | 80,000,000   | 2020/06/10 | 2021/01/05 20.00  |
| 13468    | BNP Paribas Issuance B.V. - Xiaomi Euro Warrants Nov 2020 A  | 70,000,000   | 2020/06/10 | 2020/11/03 10.50  |
| 13490    | Credit Suisse AG - CICC European Warrants Feb 2021 A         | 60,000,000   | 2020/06/10 | 2021/02/26 15.00  |
| 13485    | Credit Suisse AG - HTSC European Warrants Nov 2020 B         | 70,000,000   | 2020/06/10 | 2020/11/23 10.50  |
| 13473    | Credit Suisse AG - Li Ning European Warrants Dec 2020 A      | 50,000,000   | 2020/06/10 | 2020/12/09 12.50  |
| 13483    | Credit Suisse AG - Li Ning European Put Warrants Dec 2020 A  | 30,000,000   | 2020/06/10 | 2020/12/09 10.20  |
| 13471    | Credit Suisse AG - Meituan European Put Warrants Dec 2020 E  | 100,000,000  | 2020/06/10 | 2020/12/09 25.00  |
| 13486    | Credit Suisse AG - Ping An European Warrants Sep 2020 E      | 150,000,000  | 2020/06/10 | 2020/09/24 22.50  |
| 13440    | Guotai Junan - Alibaba Group European Warrants Oct 2020 E    | 100,000,000  | 2020/06/10 | 2020/10/09 16.50  |
| 13437    | Guotai Junan - Alibaba Group European Warrants Dec 2020 B    | 100,000,000  | 2020/06/10 | 2020/12/04 15.00  |
| 13446    | Guotai Junan - China Life European Put Warrants Jan 2021 A   | 100,000,000  | 2020/06/10 | 2021/01/06 25.30  |
| 13505    | Goldman Sachs SP (Asia) - HKEX European Warrants Sep 2020 E  | 80,000,000   | 2020/06/10 | 2020/09/25 12.00  |
| 13503    | Goldman Sachs SP (Asia) - HSBC European Warrants Dec 2022 A  | 300,000,000  | 2020/06/10 | 2022/12/21 45.00  |
| 13509    | Goldman Sachs SP (Asia) - Meituan Euro Put Wts Dec 2020 C    | 100,000,000  | 2020/06/10 | 2020/12/23 15.00  |
| 13433    | Haitong Int'l Sec - Bud Apac European Warrants Jul 2021 A    | 80,000,000   | 2020/06/10 | 2021/07/05 20.00  |
| 13434    | Haitong Int'l Sec - China Res Beer European Warrants Dec20 A | 80,000,000   | 2020/06/10 | 2020/12/09 27.20  |
| 13436    | Haitong Int'l Sec - Ping An European Warrants Dec 2020 B     | 100,000,000  | 2020/06/10 | 2020/12/31 25.00  |
| 13432    | J P Morgan SP BV - Bud Apac European Warrants Jan 2021 A     | 60,000,000   | 2020/06/10 | 2021/01/29 15.00  |
| 13424    | J P Morgan SP BV - HSCEI European Put Warrants Dec 2020 A    | 200,000,000  | 2020/06/10 | 2020/12/30 50.20  |
| 13422    | J P Morgan SP BV - HSI European Put Warrants Dec 2020 A      | 500,000,000  | 2020/06/10 | 2020/12/30 126.50 |
| 13423    | J P Morgan SP BV - HSI European Put Warrants Dec 2020 B      | 500,000,000  | 2020/06/10 | 2020/12/30 125.00 |
| 13430    | J P Morgan SP BV - Meituan European Warrants Dec 2020 F      | 200,000,000  | 2020/06/10 | 2020/12/09 50.20  |
| 13429    | J P Morgan SP BV - Meituan European Warrants Jan 2021 A      | 200,000,000  | 2020/06/10 | 2021/01/29 50.00  |
| 13426    | J P Morgan SP BV - Meituan European Put Warrants Mar 2021 A  | 100,000,000  | 2020/06/10 | 2021/03/31 25.00  |
| 13362    | Macquarie Bank Ltd. - Alibaba European Warrants Jul 2021 A   | 40,000,000   | 2020/06/10 | 2021/07/05 10.12  |
| 13403    | Macquarie Bank Ltd. - CITIC Bank European Wts Feb 2021 A     | 36,000,000   | 2020/06/10 | 2021/02/02 10.01  |
| 13376    | Macquarie Bank Ltd. - CM Bank European Put Warrants Apr21 A  | 40,000,000   | 2020/06/10 | 2021/04/07 11.56  |
| 13374    | Macquarie Bank Ltd. - Geely Auto European Wts Apr 2021 A     | 33,500,000   | 2020/06/10 | 2021/04/07 10.05  |
| 13381    | Macquarie Bank Ltd. - Meituan European Warrants Dec 2020 E   | 40,000,000   | 2020/06/10 | 2020/12/11 10.04  |
| 13398    | Macquarie Bank Ltd. - Meituan European Warrants May 2021 B   | 40,000,000   | 2020/06/10 | 2021/05/04 10.20  |
| 13377    | Macquarie Bank Ltd. - Meituan European Put Warrants Jan21 C  | 30,000,000   | 2020/06/10 | 2021/01/05 10.02  |
| 13347    | Morgan Stanley Asia Products Ltd. - HKEX European Wts Sep20B | 68,000,000   | 2020/06/10 | 2020/09/25 10.20  |
| 13407    | Morgan Stanley Asia Products Ltd. - HKEX European Wts Jan21C | 68,000,000   | 2020/06/10 | 2021/01/04 17.00  |
| 13346    | Morgan Stanley Asia Products Ltd. - HKEX Eu Put Wts Dec20 C  | 68,000,000   | 2020/06/10 | 2020/12/22 10.20  |
| 13354    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Dec20 E | 68,000,000   | 2020/06/10 | 2020/12/10 17.00  |
| 13493    | SG Issuer - Meituan European Warrants Dec 2020 F             | 80,000,000   | 2020/06/10 | 2020/12/09 20.00  |
| 13491    | SG Issuer - Meituan European Put Warrants Dec 2020 C         | 80,000,000   | 2020/06/10 | 2020/12/09 21.20  |
| 13492    | SG Issuer - Xiaomi European Put Warrants Dec 2020 C          | 60,000,000   | 2020/06/10 | 2020/12/09 15.60  |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 13414    | UBS AG - Alibaba European Warrants Oct 2020 D                | 100,000,000  | 2020/06/10 | 2020/10/27 15.00  |
| 13411    | UBS AG - HKEX European Warrants Nov 2020 B                   | 300,000,000  | 2020/06/10 | 2020/11/26 45.00  |
| 13416    | UBS AG - Ping An European Warrants Sep 2022 A                | 200,000,000  | 2020/06/10 | 2022/09/27 30.00  |
| 13453    | Bank Vontobel - HKEX European Put Warrants Jan 2021 B        | 60,000,000   | 2020/06/10 | 2021/01/05 15.00  |
| 13737    | BNP Paribas Issuance B.V. - NetEase European Warrants Jan21A | 40,000,000   | 2020/06/11 | 2021/01/05 11.20  |
| 13742    | BNP Paribas Issuance B.V. - NetEase European Warrants Jan21B | 40,000,000   | 2020/06/11 | 2021/01/05 10.00  |
| 13740    | BNP Paribas Issuance B.V. - NetEase European Warrants Feb21A | 80,000,000   | 2020/06/11 | 2021/02/02 20.00  |
| 13738    | BNP Paribas Issuance B.V. - NetEase European Warrants Mar21A | 40,000,000   | 2020/06/11 | 2021/03/02 10.00  |
| 13734    | BNP Paribas Issuance B.V. - NetEase European Warrants Apr21A | 80,000,000   | 2020/06/11 | 2021/04/07 20.00  |
| 13583    | Credit Suisse AG - Bud Apac European Warrants Dec 2020 B     | 60,000,000   | 2020/06/11 | 2020/12/10 15.00  |
| 13576    | Credit Suisse AG - Sinopec Corp European Warrants Dec 2020 A | 50,000,000   | 2020/06/11 | 2020/12/10 12.50  |
| 13580    | Credit Suisse AG - CPIC European Warrants Dec 2020 A         | 40,000,000   | 2020/06/11 | 2020/12/10 10.00  |
| 13575    | Credit Suisse AG - A50 China European Warrants Feb 2021 A    | 70,000,000   | 2020/06/11 | 2021/02/22 10.50  |
| 13585    | Credit Suisse AG - Meituan European Warrants Dec 2020 I      | 150,000,000  | 2020/06/11 | 2020/12/10 37.50  |
| 13582    | Credit Suisse AG - Tsingtao Brew European Warrants Dec2020 A | 25,000,000   | 2020/06/11 | 2020/12/10 10.00  |
| 13715    | Bank of East Asia - NetEase European Warrants Dec 2020 A     | 60,000,000   | 2020/06/11 | 2020/12/11 18.00  |
| 13723    | Bank of East Asia - NetEase European Warrants Dec 2020 B     | 60,000,000   | 2020/06/11 | 2020/12/11 15.00  |
| 13724    | Bank of East Asia - NetEase European Warrants Dec 2020 C     | 100,000,000  | 2020/06/11 | 2020/12/11 27.00  |
| 13705    | Bank of East Asia - NetEase European Warrants Feb 2021 A     | 80,000,000   | 2020/06/11 | 2021/02/03 20.00  |
| 13524    | Guotai Junan - Meituan European Warrants Dec 2020 B          | 100,000,000  | 2020/06/11 | 2020/12/18 25.00  |
| 13523    | Guotai Junan - Meituan European Put Warrants Jan 2021 A      | 100,000,000  | 2020/06/11 | 2021/01/08 16.40  |
| 13700    | Guotai Junan - NetEase European Warrants Feb 2021 A          | 100,000,000  | 2020/06/11 | 2021/02/05 25.10  |
| 13701    | Guotai Junan - NetEase European Warrants Mar 2021 A          | 100,000,000  | 2020/06/11 | 2021/03/05 25.00  |
| 13702    | Guotai Junan - NetEase European Warrants May 2021 A          | 100,000,000  | 2020/06/11 | 2021/05/21 25.00  |
| 13621    | Goldman Sachs SP (Asia) - Alibaba European Wts Dec 2020 B    | 150,000,000  | 2020/06/11 | 2020/12/24 22.50  |
| 13623    | Goldman Sachs SP (Asia) - Meituan Euro Warrants Dec 2020 G   | 100,000,000  | 2020/06/11 | 2020/12/11 25.00  |
| 13613    | Goldman Sachs SP (Asia) - Meituan Euro Put Wts Dec 2020 D    | 100,000,000  | 2020/06/11 | 2020/12/11 25.00  |
| 13604    | Goldman Sachs SP (Asia) - NetEase European Warrants Dec20 A  | 100,000,000  | 2020/06/11 | 2020/12/11 25.00  |
| 13605    | Goldman Sachs SP (Asia) - NetEase European Warrants Dec20 B  | 100,000,000  | 2020/06/11 | 2020/12/11 27.20  |
| 13611    | Goldman Sachs SP (Asia) - NetEase European Warrants May21 A  | 150,000,000  | 2020/06/11 | 2021/05/04 37.50  |
| 13624    | Goldman Sachs SP (Asia) - Xiaomi European Wts Oct 2020 B     | 70,000,000   | 2020/06/11 | 2020/10/27 10.50  |
| 13568    | Haitong Int'l Sec - BAIC Motor European Warrants Dec 2020 A  | 80,000,000   | 2020/06/11 | 2020/12/10 20.00  |
| 13570    | Haitong Int'l Sec - GAC European Warrants Jul 2021 A         | 80,000,000   | 2020/06/11 | 2021/07/08 20.00  |
| 13563    | Haitong Int'l Sec - Meituan European Warrants Dec 2020 F     | 80,000,000   | 2020/06/11 | 2020/12/17 20.00  |
| 13632    | Haitong Int'l Sec - NetEase European Warrants Dec 2020 A     | 120,000,000  | 2020/06/11 | 2020/12/10 40.80  |
| 13641    | Haitong Int'l Sec - NetEase European Warrants Dec 2020 B     | 120,000,000  | 2020/06/11 | 2020/12/10 30.00  |
| 13625    | Haitong Int'l Sec - NetEase European Warrants Feb 2021 A     | 150,000,000  | 2020/06/11 | 2021/02/25 39.00  |
| 13637    | Haitong Int'l Sec - NetEase European Warrants Mar 2021 A     | 120,000,000  | 2020/06/11 | 2021/03/30 37.20  |
| 13558    | J P Morgan SP BV - CR Beer European Warrants Dec 2020 A      | 60,000,000   | 2020/06/11 | 2020/12/11 16.62  |
| 13560    | J P Morgan SP BV - Greentown Ser European Warrants Dec2020 A | 60,000,000   | 2020/06/11 | 2020/12/31 15.12  |
| 13559    | J P Morgan SP BV - Meituan European Warrants Feb 2021 B      | 200,000,000  | 2020/06/11 | 2021/02/11 50.00  |
| 13551    | J P Morgan SP BV - Meituan European Put Warrants Dec 2020 F  | 200,000,000  | 2020/06/11 | 2020/12/31 50.80  |
| 13537    | Macquarie Bank Ltd. - CICC European Warrants Jul 2021 A      | 40,000,000   | 2020/06/11 | 2021/07/16 10.04  |
| 13586    | Macquarie Bank Ltd. - NetEase European Warrants Dec 2020 A   | 30,500,000   | 2020/06/11 | 2020/12/11 10.00  |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 到期日 (百 萬 港 元) | 集資金額  |
|----------|--------------------------------------------------------------|--------------|------------|---------------|-------|
| 13602    | Macquarie Bank Ltd. - NetEase European Warrants Dec 2020 B   | 11,000,000   | 2020/06/11 | 2020/12/11    | 10.14 |
| 13587    | Macquarie Bank Ltd. - NetEase European Warrants Jan 2021 A   | 23,000,000   | 2020/06/11 | 2021/01/05    | 10.07 |
| 13591    | Macquarie Bank Ltd. - NetEase European Warrants Jan 2021 B   | 33,000,000   | 2020/06/11 | 2021/01/05    | 10.10 |
| 13599    | Macquarie Bank Ltd. - NetEase European Warrants Jan 2021 C   | 40,000,000   | 2020/06/11 | 2021/01/05    | 10.12 |
| 13603    | Macquarie Bank Ltd. - NetEase European Warrants Oct 2022 A   | 35,000,000   | 2020/06/11 | 2022/10/05    | 10.05 |
| 13539    | Macquarie Bank Ltd. - Tencent European Warrants Jan 2021 C   | 12,400,000   | 2020/06/11 | 2021/01/04    | 10.08 |
| 13532    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Feb21A  | 98,000,000   | 2020/06/11 | 2021/02/01    | 25.28 |
| 13669    | Morgan Stanley Asia Products Ltd. - NetEase Euro Wts Dec20A  | 88,000,000   | 2020/06/11 | 2020/12/11    | 33.62 |
| 13690    | Morgan Stanley Asia Products Ltd. - NetEase Euro Wts Dec20B  | 88,000,000   | 2020/06/11 | 2020/12/11    | 27.10 |
| 13694    | Morgan Stanley Asia Products Ltd. - NetEase Euro Wts Dec20C  | 88,000,000   | 2020/06/11 | 2020/12/11    | 22.00 |
| 13677    | Morgan Stanley Asia Products Ltd. - NetEase Euro Wts Jan21A  | 88,000,000   | 2020/06/11 | 2021/01/22    | 22.00 |
| 13668    | Morgan Stanley Asia Products Ltd. - NetEase Euro Wts Feb21A  | 88,000,000   | 2020/06/11 | 2021/02/08    | 22.00 |
| 13533    | Morgan Stanley Asia Products Ltd. - Xiaomi Euro Wts Oct20 B  | 68,000,000   | 2020/06/11 | 2020/10/27    | 10.20 |
| 13643    | SG Issuer - NetEase European Warrants Dec 2020 A             | 150,000,000  | 2020/06/11 | 2020/12/10    | 37.50 |
| 13652    | SG Issuer - NetEase European Warrants Dec 2020 B             | 30,000,000   | 2020/06/11 | 2020/12/10    | 15.00 |
| 13656    | SG Issuer - NetEase European Warrants Dec 2020 C             | 30,000,000   | 2020/06/11 | 2020/12/10    | 10.05 |
| 13658    | SG Issuer - NetEase European Warrants Dec 2020 D             | 150,000,000  | 2020/06/11 | 2020/12/31    | 37.50 |
| 13665    | SG Issuer - NetEase European Warrants Jan 2021 A             | 150,000,000  | 2020/06/11 | 2021/01/29    | 37.50 |
| 13666    | SG Issuer - NetEase European Warrants Mar 2021 A             | 150,000,000  | 2020/06/11 | 2021/03/08    | 37.50 |
| 13667    | SG Issuer - NetEase European Warrants Jun 2021 A             | 200,000,000  | 2020/06/11 | 2021/06/30    | 50.00 |
| 13545    | UBS AG - CITIC Sec European Warrants Mar 2021 A              | 70,000,000   | 2020/06/11 | 2021/03/26    | 10.50 |
| 13544    | UBS AG - Evergrande European Warrants Oct 2020 A             | 60,000,000   | 2020/06/11 | 2020/10/27    | 10.02 |
| 13542    | UBS AG - Galaxy Ent European Warrants Nov 2020 A             | 80,000,000   | 2020/06/11 | 2020/11/30    | 23.52 |
| 13519    | UBS AG - HSI European Warrants Dec 2020 C                    | 300,000,000  | 2020/06/11 | 2020/12/30    | 45.00 |
| 13548    | UBS AG - Meituan European Warrants Dec 2020 F                | 100,000,000  | 2020/06/11 | 2020/12/10    | 25.00 |
| 13541    | UBS AG - Meituan European Put Warrants Dec 2020 D            | 200,000,000  | 2020/06/11 | 2020/12/10    | 50.00 |
| 13556    | UBS AG - Meituan European Put Warrants Dec 2020 E            | 200,000,000  | 2020/06/11 | 2020/12/31    | 50.00 |
| 13795    | BNP Paribas Issuance B.V. - Alibaba European Wts Feb 2021 A  | 40,000,000   | 2020/06/12 | 2021/02/02    | 10.00 |
| 13807    | BNP Paribas Issuance B.V. - SMIC European Wts Jan 2021 B     | 40,000,000   | 2020/06/12 | 2021/01/05    | 10.40 |
| 13803    | BNP Paribas Issuance B.V. - Tencent European Wts Jan 2021 F  | 40,000,000   | 2020/06/12 | 2021/01/05    | 10.00 |
| 13839    | Credit Suisse AG - BYD Company European Put Warrants Dec21 A | 100,000,000  | 2020/06/12 | 2021/12/28    | 15.00 |
| 13860    | Credit Suisse AG - CNOOC European Warrants Oct 2020 B        | 80,000,000   | 2020/06/12 | 2020/10/30    | 12.00 |
| 13858    | Credit Suisse AG - CSC European Warrants Apr 2021 A          | 80,000,000   | 2020/06/12 | 2021/04/30    | 20.00 |
| 13835    | Credit Suisse AG - Greentown Ser European Warrants Dec2020 A | 40,000,000   | 2020/06/12 | 2020/12/11    | 10.00 |
| 13842    | Credit Suisse AG - Hang Seng Bank European Put Wts Dec2020 A | 40,000,000   | 2020/06/12 | 2020/12/11    | 10.00 |
| 13827    | Credit Suisse AG - Meituan European Warrants Jan 2021 A      | 150,000,000  | 2020/06/12 | 2021/01/11    | 37.50 |
| 13843    | Credit Suisse AG - Sands China European Warrants Dec 2020 A  | 50,000,000   | 2020/06/12 | 2020/12/11    | 12.50 |
| 13850    | Credit Suisse AG - SMIC European Warrants Nov 2020 B         | 100,000,000  | 2020/06/12 | 2020/11/23    | 29.00 |
| 13855    | Credit Suisse AG - SMIC European Warrants Dec 2020 A         | 100,000,000  | 2020/06/12 | 2020/12/31    | 25.00 |
| 13844    | Credit Suisse AG - Wynn Macau European Warrants Jan 2021 A   | 60,000,000   | 2020/06/12 | 2021/01/29    | 15.00 |
| 13762    | Bank of East Asia - Meituan European Warrants Mar 2021 A     | 60,000,000   | 2020/06/12 | 2021/03/30    | 15.00 |
| 13774    | Bank of East Asia - Meituan European Put Warrants Dec 2020 A | 40,000,000   | 2020/06/12 | 2020/12/30    | 10.00 |
| 13817    | Guotai Junan - NetEase European Warrants Jan 2021 A          | 100,000,000  | 2020/06/12 | 2021/01/15    | 25.00 |
| 13866    | Goldman Sachs SP (Asia) - Alibaba European Wts Oct 2020 F    | 100,000,000  | 2020/06/12 | 2020/10/27    | 15.00 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之        |            | 集資金額       |       |
|----------|--------------------------------------------------------------|-------------|------------|------------|-------|
|          |                                                              | 發行單位        | 上市日期       | 到期日(百萬港元)  |       |
| 13865    | Goldman Sachs SP (Asia) - China Mobile Euro Wts Mar 2021 A   | 100,000,000 | 2020/06/12 | 2021/03/16 | 15.00 |
| 13878    | Goldman Sachs SP (Asia) - HKEX European Warrants Dec 2020 C  | 80,000,000  | 2020/06/12 | 2020/12/14 | 20.00 |
| 13882    | Goldman Sachs SP (Asia) - NetEase European Warrants Dec20 C  | 100,000,000 | 2020/06/12 | 2020/12/14 | 25.00 |
| 13884    | Goldman Sachs SP (Asia) - NetEase European Warrants Feb21 A  | 100,000,000 | 2020/06/12 | 2021/02/01 | 25.00 |
| 13880    | Goldman Sachs SP (Asia) - NetEase European Warrants Mar21 A  | 100,000,000 | 2020/06/12 | 2021/03/18 | 25.00 |
| 13886    | Goldman Sachs SP (Asia) - NetEase European Warrants May21 B  | 150,000,000 | 2020/06/12 | 2021/05/31 | 37.50 |
| 13769    | HK Bank - Meituan European Warrants Feb 2021 A               | 100,000,000 | 2020/06/12 | 2021/02/01 | 25.00 |
| 13773    | HK Bank - Meituan European Warrants Apr 2021 B               | 100,000,000 | 2020/06/12 | 2021/04/30 | 25.00 |
| 13812    | Haitong Int'l Sec - NetEase European Warrants Dec 2020 C     | 120,000,000 | 2020/06/12 | 2020/12/11 | 56.40 |
| 13786    | J P Morgan SP BV - Galaxy Ent European Put Wts Dec 2020 A    | 60,000,000  | 2020/06/12 | 2020/12/11 | 17.88 |
| 13793    | J P Morgan SP BV - Link REIT European Warrants Dec 2020 B    | 60,000,000  | 2020/06/12 | 2020/12/31 | 15.06 |
| 13784    | Macquarie Bank Ltd. - Alibaba European Warrants Jan 2022 A   | 40,000,000  | 2020/06/12 | 2022/01/04 | 10.12 |
| 13813    | Macquarie Bank Ltd. - NetEase European Warrants Jan 2021 D   | 17,000,000  | 2020/06/12 | 2021/01/05 | 10.06 |
| 13816    | Macquarie Bank Ltd. - NetEase European Warrants Oct 2021 A   | 26,000,000  | 2020/06/12 | 2021/10/05 | 10.06 |
| 13814    | Macquarie Bank Ltd. - NetEase European Warrants Apr 2022 A   | 25,800,000  | 2020/06/12 | 2022/04/04 | 10.04 |
| 13815    | Macquarie Bank Ltd. - NetEase European Warrants Jun 2023 A   | 35,200,000  | 2020/06/12 | 2023/06/02 | 10.03 |
| 13822    | Morgan Stanley Asia Products Ltd. - NetEase Euro Wt Dec20D   | 108,000,000 | 2020/06/12 | 2020/12/14 | 28.08 |
| 13818    | Morgan Stanley Asia Products Ltd. - NetEase Euro Wt Mar21A   | 108,000,000 | 2020/06/12 | 2021/03/10 | 27.00 |
| 13820    | Morgan Stanley Asia Products Ltd. - NetEase Euro Wt May21A   | 108,000,000 | 2020/06/12 | 2021/05/28 | 27.00 |
| 13901    | SG Issuer - NetEase European Warrants Dec 2020 E             | 150,000,000 | 2020/06/12 | 2020/12/11 | 45.00 |
| 13912    | SG Issuer - NetEase European Warrants Dec 2020 F             | 150,000,000 | 2020/06/12 | 2020/12/11 | 38.25 |
| 13917    | SG Issuer - NetEase European Warrants Feb 2021 A             | 200,000,000 | 2020/06/12 | 2021/02/16 | 50.00 |
| 13777    | UBS AG - BYD Company European Warrants Apr 2021 A            | 150,000,000 | 2020/06/12 | 2021/04/27 | 22.50 |
| 13893    | Bank Vontobel - NetEase European Warrants Dec 2020 A         | 50,000,000  | 2020/06/12 | 2020/12/11 | 13.50 |
| 13895    | Bank Vontobel - NetEase European Warrants Dec 2020 B         | 30,000,000  | 2020/06/12 | 2020/12/11 | 15.00 |
| 13897    | Bank Vontobel - NetEase European Warrants Jan 2021 A         | 80,000,000  | 2020/06/12 | 2021/01/04 | 20.00 |
| 13899    | Bank Vontobel - NetEase European Warrants Feb 2021 A         | 50,000,000  | 2020/06/12 | 2021/02/24 | 12.50 |
| 13898    | Bank Vontobel - NetEase European Warrants May 2021 A         | 80,000,000  | 2020/06/12 | 2021/05/26 | 20.00 |
| 13965    | BOCI Asia Ltd. - Meituan European Put Warrants Nov 2020 C    | 100,000,000 | 2020/06/15 | 2020/11/30 | 27.00 |
| 14002    | BNP Paribas Issuance B.V. - HKEX European Wts Jun 2021 A     | 40,000,000  | 2020/06/15 | 2021/06/02 | 10.00 |
| 14007    | BNP Paribas Issuance B.V. - Xiaomi Euro Warrants Jan 2021 B  | 60,000,000  | 2020/06/15 | 2021/01/05 | 10.80 |
| 13995    | Credit Suisse AG - China Mobile European Warrants Sep 2020 D | 70,000,000  | 2020/06/15 | 2020/09/23 | 10.50 |
| 13997    | Credit Suisse AG - Galaxy Ent European Put Wts Dec 2020 B    | 50,000,000  | 2020/06/15 | 2020/12/14 | 12.50 |
| 13998    | Credit Suisse AG - Hua Hong Semi European Wts Dec 2020 A     | 40,000,000  | 2020/06/15 | 2020/12/14 | 10.00 |
| 14001    | Credit Suisse AG - Link REIT European Warrants Dec 2020 C    | 50,000,000  | 2020/06/15 | 2020/12/14 | 12.50 |
| 13996    | Credit Suisse AG - Sino Biopharm European Put Wts Dec 2020 A | 40,000,000  | 2020/06/15 | 2020/12/14 | 10.00 |
| 14011    | Goldman Sachs SP (Asia) - Alibaba European Wts Sep 2020 I    | 150,000,000 | 2020/06/15 | 2020/09/24 | 22.50 |
| 14037    | Goldman Sachs SP (Asia) - HSI European Warrants Oct 2020 B   | 150,000,000 | 2020/06/15 | 2020/10/29 | 22.50 |
| 14012    | Goldman Sachs SP (Asia) - PA Gooddoctor European Wts Dec20 C | 100,000,000 | 2020/06/15 | 2020/12/23 | 15.00 |
| 13927    | HK Bank - CC Bank European Warrants Nov 2020 A               | 80,000,000  | 2020/06/15 | 2020/11/20 | 12.80 |
| 13942    | HK Bank - HSI European Warrants Dec 2020 C                   | 200,000,000 | 2020/06/15 | 2020/12/30 | 30.00 |
| 13946    | HK Bank - HSI European Put Warrants Nov 2020 C               | 200,000,000 | 2020/06/15 | 2020/11/27 | 30.00 |
| 13940    | HK Bank - Tencent European Warrants Nov 2020 B               | 80,000,000  | 2020/06/15 | 2020/11/18 | 14.40 |
| 14008    | Haitong Int'l Sec - Tencent European Warrants Dec 2020 A     | 120,000,000 | 2020/06/15 | 2020/12/28 | 28.80 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 到期日 (百萬元)  | 集資金額  |
|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 14010    | Haitong Int'l Sec - Xiaomi European Warrants Nov 2020 A      | 100,000,000  | 2020/06/15 | 2020/11/03 | 15.00 |
| 13977    | J P Morgan SP BV - CNOOC European Put Warrants Feb 2021 A    | 80,000,000   | 2020/06/15 | 2021/02/26 | 20.00 |
| 13975    | J P Morgan SP BV - HKEX European Put Wts Dec 2020 B          | 200,000,000  | 2020/06/15 | 2020/12/31 | 50.00 |
| 13979    | J P Morgan SP BV - Hang Seng Bank European Warrants Jun21 A  | 70,000,000   | 2020/06/15 | 2021/06/25 | 10.57 |
| 13954    | Macquarie Bank Ltd. - Conch Cement European Wts Jan 2021 A   | 20,000,000   | 2020/06/15 | 2021/01/05 | 10.20 |
| 13950    | Macquarie Bank Ltd. - BYD Company European Wts Jan 2021 A    | 25,000,000   | 2020/06/15 | 2021/01/05 | 10.05 |
| 13959    | Macquarie Bank Ltd. - Tencent European Warrants Jan 2021 D   | 25,000,000   | 2020/06/15 | 2021/01/04 | 21.85 |
| 13964    | Macquarie Bank Ltd. - Xinyi Glass European Wts Jul 2021 A    | 34,000,000   | 2020/06/15 | 2021/07/09 | 10.13 |
| 13921    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Jan21 A | 68,000,000   | 2020/06/15 | 2021/01/21 | 17.00 |
| 13923    | Morgan Stanley Asia Products Ltd. - Meituan Eu Put Wt Dec20C | 68,000,000   | 2020/06/15 | 2020/12/21 | 17.00 |
| 14052    | Morgan Stanley Asia Products Ltd. - NetEase Euro Wt Jan21B   | 88,000,000   | 2020/06/15 | 2021/01/15 | 22.00 |
| 13926    | Morgan Stanley Asia Products Ltd. - Ping An Euro Wts Dec20 E | 68,000,000   | 2020/06/15 | 2020/12/24 | 10.34 |
| 13918    | Morgan Stanley Asia Products Ltd. - Ping An Eu Put Wt Mar21A | 68,000,000   | 2020/06/15 | 2021/03/31 | 17.00 |
| 14050    | SG Issuer - HSI European Warrants Dec 2020 B                 | 300,000,000  | 2020/06/15 | 2020/12/30 | 45.00 |
| 13968    | UBS AG - Alibaba European Warrants Apr 2021 A                | 200,000,000  | 2020/06/15 | 2021/04/23 | 30.00 |
| 13967    | UBS AG - SMIC European Warrants Dec 2020 C                   | 70,000,000   | 2020/06/15 | 2020/12/21 | 17.50 |
| 13987    | Bank Vontobel - HKEX European Warrants Jan 2021 B            | 40,000,000   | 2020/06/15 | 2021/01/04 | 10.00 |
| 20172#   | Credit Suisse AG - HKEX European Warrants Nov 2020 A         | 100,000,000  | 2020/06/15 | 2020/11/26 | 10.90 |
| 14072    | BNP Paribas Issuance B.V. - AIA European Wts Oct 2020 B      | 50,000,000   | 2020/06/16 | 2020/10/06 | 10.50 |
| 14068    | BNP Paribas Issuance B.V. - China Mobile Euro Wts Oct 2020 C | 60,000,000   | 2020/06/16 | 2020/10/06 | 12.00 |
| 14193    | Credit Suisse AG - Alibaba European Warrants Jan 2022 A      | 200,000,000  | 2020/06/16 | 2022/01/04 | 76.00 |
| 14186    | Credit Suisse AG - China Life European Put Wts Nov 2020 A    | 80,000,000   | 2020/06/16 | 2020/11/24 | 12.00 |
| 14191    | Credit Suisse AG - China Mobile European Warrants Mar 2021 A | 150,000,000  | 2020/06/16 | 2021/03/16 | 22.50 |
| 14183    | Credit Suisse AG - CNOOC European Put Warrants Dec 2020 A    | 80,000,000   | 2020/06/16 | 2020/12/31 | 20.00 |
| 14190    | Credit Suisse AG - HKEX European Put Warrants Dec 2020 B     | 100,000,000  | 2020/06/16 | 2020/12/15 | 25.00 |
| 14196    | Credit Suisse AG - HSI European Warrants Dec 2020 A          | 150,000,000  | 2020/06/16 | 2020/12/30 | 22.50 |
| 14174    | Credit Suisse AG - HSI European Put Warrants Dec 2020 A      | 150,000,000  | 2020/06/16 | 2020/12/30 | 22.50 |
| 14175    | Credit Suisse AG - HSI European Put Warrants Dec 2020 B      | 150,000,000  | 2020/06/16 | 2020/12/30 | 22.50 |
| 14179    | Credit Suisse AG - HSI European Put Warrants Dec 2020 C      | 150,000,000  | 2020/06/16 | 2020/12/30 | 22.50 |
| 14194    | Credit Suisse AG - Meituan European Warrants Jan 2022 A      | 200,000,000  | 2020/06/16 | 2022/01/04 | 60.00 |
| 14081    | Bank of East Asia - HSBC European Warrants Dec 2020 A        | 40,000,000   | 2020/06/16 | 2020/12/30 | 11.20 |
| 14082    | Bank of East Asia - Xiaomi European Warrants Dec 2020 A      | 50,000,000   | 2020/06/16 | 2020/12/28 | 12.50 |
| 14237    | Goldman Sachs SP (Asia) - China Mobile Euro Wts Oct 2020 A   | 80,000,000   | 2020/06/16 | 2020/10/27 | 12.00 |
| 14259    | Goldman Sachs SP (Asia) - Tencent European Wts Jan 2021 A    | 150,000,000  | 2020/06/16 | 2021/01/26 | 29.25 |
| 14208    | Haitong Int'l Sec - AIA European Warrants Dec 2020 A         | 100,000,000  | 2020/06/16 | 2020/12/21 | 27.00 |
| 14206    | Haitong Int'l Sec - CICC European Warrants Mar 2021 A        | 80,000,000   | 2020/06/16 | 2021/03/23 | 20.00 |
| 14215    | Haitong Int'l Sec - CITIC Sec European Warrants Oct 2020 A   | 80,000,000   | 2020/06/16 | 2020/10/28 | 12.80 |
| 14216    | Haitong Int'l Sec - Sinopec Corp European Wts Feb 2021 A     | 60,000,000   | 2020/06/16 | 2021/02/04 | 12.60 |
| 14204    | Haitong Int'l Sec - CSC European Warrants Jan 2021 A         | 80,000,000   | 2020/06/16 | 2021/01/21 | 20.00 |
| 14122    | J P Morgan SP BV - China Life European Put Wts Dec 2020 A    | 100,000,000  | 2020/06/16 | 2020/12/31 | 18.00 |
| 14110    | J P Morgan SP BV - China Mobile European Put Wts Dec 2020 A  | 100,000,000  | 2020/06/16 | 2020/12/31 | 25.00 |
| 14137    | J P Morgan SP BV - CSOP A50 ETF European Warrants Jan 2021 A | 100,000,000  | 2020/06/16 | 2021/01/11 | 15.10 |
| 14145    | J P Morgan SP BV - HKEX European Warrants Dec 2020 C         | 100,000,000  | 2020/06/16 | 2020/12/23 | 15.60 |
| 14139    | J P Morgan SP BV - HSI European Put Warrants Oct 2020 D      | 500,000,000  | 2020/06/16 | 2020/10/29 | 75.50 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 10136    | J P Morgan SP BV - N225 Index Euro Wts Mar 2021 A            | 100,000,000  | 2020/06/16 | 2021/03/12 25.40  |
| 10138    | J P Morgan SP BV - N225 Index Euro Put Wts Mar 2021 A        | 100,000,000  | 2020/06/16 | 2021/03/12 25.10  |
| 14123    | J P Morgan SP BV - NCI European Warrants Nov 2020 A          | 70,000,000   | 2020/06/16 | 2020/11/06 10.50  |
| 14124    | J P Morgan SP BV - Sands China Ltd European Warrants Nov20 A | 80,000,000   | 2020/06/16 | 2020/11/27 14.08  |
| 14120    | J P Morgan SP BV - Tencent European Put Warrants Sep 2020 C  | 250,000,000  | 2020/06/16 | 2020/09/30 37.50  |
| 14119    | J P Morgan SP BV - Tencent European Put Warrants Nov 2020 C  | 250,000,000  | 2020/06/16 | 2020/11/23 44.25  |
| 14118    | J P Morgan SP BV - Xiaomi European Warrants Oct 2020 A       | 100,000,000  | 2020/06/16 | 2020/10/30 15.00  |
| 14112    | J P Morgan SP BV - Xiaomi European Put Warrants Dec 2020 D   | 100,000,000  | 2020/06/16 | 2020/12/31 25.00  |
| 14062    | Macquarie Bank Ltd. - Country Garden European Wts Jan 2022 A | 38,000,000   | 2020/06/16 | 2022/01/04 10.03  |
| 14059    | Macquarie Bank Ltd. - Techtronic Ind European Wts Jan 2022 A | 37,000,000   | 2020/06/16 | 2022/01/04 10.10  |
| 14236    | Morgan Stanley Asia Products Ltd. - CCB Euro Wts Dec 2020 A  | 68,000,000   | 2020/06/16 | 2020/12/21 17.00  |
| 14229    | Morgan Stanley Asia Products Ltd. - Galaxy Eu Wts Dec 2020 C | 68,000,000   | 2020/06/16 | 2020/12/18 17.14  |
| 14162    | Morgan Stanley Asia Products Ltd. - HKEX Eu Put Wts Dec20 D  | 68,000,000   | 2020/06/16 | 2020/12/16 17.68  |
| 14159    | Morgan Stanley Asia Products Ltd. - HSI European Wts Dec20 B | 100,000,000  | 2020/06/16 | 2020/12/30 15.30  |
| 14168    | Morgan Stanley Asia Products Ltd. - NetEase Euro Wt Dec20E   | 88,000,000   | 2020/06/16 | 2020/12/16 28.51  |
| 14158    | Morgan Stanley Asia Products Ltd. - SHK Ppt Euro Wts Dec20 A | 68,000,000   | 2020/06/16 | 2020/12/30 17.00  |
| 14166    | Morgan Stanley Asia Products Ltd. - SUNAC Eu Wt Dec 2020 A   | 68,000,000   | 2020/06/16 | 2020/12/23 17.41  |
| 14098    | SG Issuer - China Mobile European Warrants Nov 2020 A        | 70,000,000   | 2020/06/16 | 2020/11/23 10.50  |
| 14092    | SG Issuer - HSI European Put Warrants Sep 2020 E             | 300,000,000  | 2020/06/16 | 2020/09/29 45.00  |
| 14094    | SG Issuer - HSI European Put Warrants Dec 2020 A             | 300,000,000  | 2020/06/16 | 2020/12/30 45.00  |
| 14102    | SG Issuer - Meituan European Warrants Feb 2021 A             | 150,000,000  | 2020/06/16 | 2021/02/26 37.50  |
| 14106    | SG Issuer - Meituan European Warrants Jun 2021 A             | 150,000,000  | 2020/06/16 | 2021/06/30 48.75  |
| 14109    | SG Issuer - Tencent European Put Warrants Nov 2020 B         | 100,000,000  | 2020/06/16 | 2020/11/23 18.50  |
| 14079    | UBS AG - HSI European Put Warrants Sep 2020 I                | 300,000,000  | 2020/06/16 | 2020/09/29 45.00  |
| 14078    | UBS AG - HSI European Put Warrants Nov 2020 A                | 300,000,000  | 2020/06/16 | 2020/11/27 45.00  |
| 14073    | UBS AG - HSI European Put Warrants Dec 2020 A                | 300,000,000  | 2020/06/16 | 2020/12/30 45.00  |
| 14089    | Bank Vontobel - HK & China Gas European Warrants Mar 2021 A  | 40,000,000   | 2020/06/16 | 2021/03/29 10.00  |
| 14084    | Bank Vontobel - HSBC European Warrants Dec 2020 B            | 70,000,000   | 2020/06/16 | 2020/12/23 10.50  |
| 14086    | Bank Vontobel - HSBC European Put Warrants Jan 2021 A        | 40,000,000   | 2020/06/16 | 2021/01/04 11.20  |
| 14085    | Bank Vontobel - HSBC European Put Warrants Jun 2021 A        | 60,000,000   | 2020/06/16 | 2021/06/28 10.20  |
| 14291    | BOCI Asia Ltd. - Alibaba European Warrants Oct 2020 C        | 100,000,000  | 2020/06/17 | 2020/10/27 15.00  |
| 14296    | BOCI Asia Ltd. - CNOOC European Warrants Dec 2020 B          | 70,000,000   | 2020/06/17 | 2020/12/30 13.30  |
| 14293    | BOCI Asia Ltd. - HKEX European Warrants Dec 2020 C           | 100,000,000  | 2020/06/17 | 2020/12/31 21.00  |
| 14292    | BOCI Asia Ltd. - HSBC European Warrants Oct 2020 A           | 70,000,000   | 2020/06/17 | 2020/10/21 10.50  |
| 14290    | BOCI Asia Ltd. - Ping An European Warrants Oct 2020 B        | 70,000,000   | 2020/06/17 | 2020/10/27 10.50  |
| 14287    | BOCI Asia Ltd. - SMIC European Warrants Dec 2020 A           | 100,000,000  | 2020/06/17 | 2020/12/07 18.00  |
| 14278    | BOCI Asia Ltd. - Tencent European Warrants Nov 2020 B        | 150,000,000  | 2020/06/17 | 2020/11/30 22.50  |
| 14280    | BOCI Asia Ltd. - Tencent European Warrants Dec 2020 C        | 150,000,000  | 2020/06/17 | 2020/12/28 24.00  |
| 14264    | BOCI Asia Ltd. - Tencent European Put Wts Nov 2020 B         | 100,000,000  | 2020/06/17 | 2020/11/30 20.00  |
| 14270    | BOCI Asia Ltd. - Tencent European Put Wts Nov 2020 C         | 100,000,000  | 2020/06/17 | 2020/11/13 24.00  |
| 14394    | Credit Suisse AG - Alibaba European Put Warrants Sep 2020 D  | 150,000,000  | 2020/06/17 | 2020/09/23 22.50  |
| 14400    | Credit Suisse AG - China Com Services European Wts Jan2021 A | 80,000,000   | 2020/06/17 | 2021/01/29 20.00  |
| 14403    | Credit Suisse AG - HKEX European Warrants Dec 2020 D         | 150,000,000  | 2020/06/17 | 2020/12/16 37.50  |
| 14399    | Credit Suisse AG - Mengniu Dairy European Wts Dec 2020 A     | 50,000,000   | 2020/06/17 | 2020/12/16 12.50  |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 到期日(百萬元)   | 集資金額  |
|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 14395    | Credit Suisse AG - Weigao Group European Warrants Dec 2020 A | 50,000,000   | 2020/06/17 | 2020/12/16 | 12.50 |
| 14386    | Credit Suisse AG - Tencent Euro Put Wts Sep 2020 D           | 200,000,000  | 2020/06/17 | 2020/09/18 | 30.00 |
| 14388    | Credit Suisse AG - Tencent Euro Put Wts Nov 2020 B           | 200,000,000  | 2020/06/17 | 2020/11/18 | 30.00 |
| 14393    | Credit Suisse AG - Tencent Euro Put Wts Nov 2020 C           | 200,000,000  | 2020/06/17 | 2020/11/13 | 44.00 |
| 14272    | Guotai Junan - NetEase European Warrants Dec 2020 A          | 100,000,000  | 2020/06/17 | 2020/12/18 | 25.00 |
| 14430    | Goldman Sachs SP (Asia) - Alibaba European Wts Dec 2020 C    | 150,000,000  | 2020/06/17 | 2020/12/24 | 22.50 |
| 14426    | Goldman Sachs SP (Asia) - HSI European Put Wts Sep 2020 F    | 150,000,000  | 2020/06/17 | 2020/09/29 | 22.50 |
| 14420    | Goldman Sachs SP (Asia) - Ping An European Wts Dec 2021 A    | 150,000,000  | 2020/06/17 | 2021/12/23 | 35.25 |
| 14424    | Goldman Sachs SP (Asia) - Tencent European Put Wt Nov 2020 C | 100,000,000  | 2020/06/17 | 2020/11/23 | 23.00 |
| 14275    | HK Bank - HKEX European Warrants May 2021 A                  | 80,000,000   | 2020/06/17 | 2021/05/31 | 20.00 |
| 14277    | HK Bank - HKEX European Put Warrants Dec 2020 C              | 80,000,000   | 2020/06/17 | 2020/12/31 | 20.00 |
| 14273    | HK Bank - HSI European Put Warrants Dec 2020 D               | 200,000,000  | 2020/06/17 | 2020/12/30 | 30.00 |
| 14274    | HK Bank - Tencent European Put Warrants Dec 2020 A           | 80,000,000   | 2020/06/17 | 2020/12/31 | 20.00 |
| 14384    | J P Morgan SP BV - CITIC Sec European Warrants Nov 2020 A    | 70,000,000   | 2020/06/17 | 2020/11/02 | 10.50 |
| 14325    | Macquarie Bank Ltd. - Tencent European Warrants Dec 2020 G   | 40,000,000   | 2020/06/17 | 2020/12/28 | 10.00 |
| 14413    | Morgan Stanley Asia Products Ltd. - Ch Mob Euro Wt Mar2021 B | 68,000,000   | 2020/06/17 | 2021/03/26 | 10.20 |
| 14417    | Morgan Stanley Asia Products Ltd. - Ch Mob Eu Put Wt Jan21 A | 68,000,000   | 2020/06/17 | 2021/01/04 | 11.56 |
| 14408    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Dec20 B | 88,000,000   | 2020/06/17 | 2020/12/18 | 13.29 |
| 14409    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Jan21 D | 88,000,000   | 2020/06/17 | 2021/01/04 | 33.97 |
| 14405    | Morgan Stanley Asia Products Ltd. - Tencent Eu Put Wt Dec20C | 88,000,000   | 2020/06/17 | 2020/12/18 | 23.76 |
| 14404    | Morgan Stanley Asia Products Ltd. - Xiaomi Eu Put Wts Dec20B | 68,000,000   | 2020/06/17 | 2020/12/30 | 17.00 |
| 14380    | SG Issuer - China Life European Warrants Oct 2020 A          | 70,000,000   | 2020/06/17 | 2020/10/16 | 10.50 |
| 14298    | UBS AG - AIA European Warrants Dec 2021 A                    | 150,000,000  | 2020/06/17 | 2021/12/28 | 22.50 |
| 14312    | UBS AG - HKEX European Warrants Dec 2020 B                   | 150,000,000  | 2020/06/17 | 2020/12/24 | 22.50 |
| 14303    | UBS AG - HKEX European Put Warrants Dec 2020 B               | 300,000,000  | 2020/06/17 | 2020/12/16 | 75.00 |
| 14321    | UBS AG - HSCEI European Put Warrants Dec 2020 A              | 200,000,000  | 2020/06/17 | 2020/12/30 | 30.00 |
| 14326    | UBS AG - HSI European Put Warrants Dec 2020 B                | 300,000,000  | 2020/06/17 | 2020/12/30 | 45.00 |
| 14311    | UBS AG - Tencent European Put Warrants Sep 2020 C            | 300,000,000  | 2020/06/17 | 2020/09/18 | 45.00 |
| 14349    | Bank Vontobel - Conch Cement European Warrants Jun 2021 A    | 70,000,000   | 2020/06/17 | 2021/06/25 | 11.20 |
| 14334    | Bank Vontobel - Bud Apac European Warrants Jan 2021 A        | 50,000,000   | 2020/06/17 | 2021/01/25 | 11.00 |
| 14371    | Bank Vontobel - CITIC Sec European Warrants Oct 2020 A       | 70,000,000   | 2020/06/17 | 2020/10/27 | 10.50 |
| 14347    | Bank Vontobel - CM Bank European Warrants Nov 2020 A         | 60,000,000   | 2020/06/17 | 2020/11/02 | 10.20 |
| 14340    | Bank Vontobel - CNBM European Warrants Apr 2021 A            | 60,000,000   | 2020/06/17 | 2021/04/28 | 10.20 |
| 14376    | Bank Vontobel - HSI European Warrants Oct 2020 C             | 80,000,000   | 2020/06/17 | 2020/10/29 | 12.00 |
| 14373    | Bank Vontobel - HSI European Put Warrants Nov 2020 A         | 80,000,000   | 2020/06/17 | 2020/11/27 | 14.40 |
| 14337    | Bank Vontobel - Kunlun Energy European Warrants Jun 2021 A   | 50,000,000   | 2020/06/17 | 2021/06/28 | 11.30 |
| 14344    | Bank Vontobel - Kingsoft European Warrants Jan 2021 A        | 30,000,000   | 2020/06/17 | 2021/01/04 | 10.20 |
| 14356    | Bank Vontobel - Meituan European Warrants Dec 2020 E         | 50,000,000   | 2020/06/17 | 2020/12/03 | 10.00 |
| 14335    | Bank Vontobel - Sino Biopharm European Warrants Jun 2021 A   | 40,000,000   | 2020/06/17 | 2021/06/01 | 10.00 |
| 14449    | BOCI Asia Ltd. - China Mobile European Warrants Mar 2021 A   | 100,000,000  | 2020/06/18 | 2021/03/30 | 15.00 |
| 14439    | BOCI Asia Ltd. - Xiaomi European Warrants Dec 2020 B         | 70,000,000   | 2020/06/18 | 2020/12/28 | 12.60 |
| 14580    | BNP Paribas Issuance B.V. - JD.com European Warrants Dec20 A | 60,000,000   | 2020/06/18 | 2020/12/18 | 15.00 |
| 14590    | BNP Paribas Issuance B.V. - JD.com European Warrants Dec20 B | 36,000,000   | 2020/06/18 | 2020/12/18 | 10.08 |
| 14583    | BNP Paribas Issuance B.V. - JD.com European Warrants Jan21 A | 60,000,000   | 2020/06/18 | 2021/01/05 | 15.00 |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 14584    | BNP Paribas Issuance B.V. - JD.com European Warrants Feb21 A | 60,000,000   | 2020/06/18 | 2021/02/02 15.00  |
| 14587    | BNP Paribas Issuance B.V. - JD.com European Warrants Mar21 A | 60,000,000   | 2020/06/18 | 2021/03/02 15.00  |
| 14436    | BNP Paribas Issuance B.V. - NetEase European Warrants Dec20A | 60,000,000   | 2020/06/18 | 2020/12/03 19.20  |
| 14433    | BNP Paribas Issuance B.V. - Tencent Eu Put Wt Jan 2021 B     | 80,000,000   | 2020/06/18 | 2021/01/05 20.00  |
| 14472    | Credit Suisse AG - HSI European Put Warrants Sep 2020 H      | 150,000,000  | 2020/06/18 | 2020/09/29 22.50  |
| 14561    | Credit Suisse AG - JD.com European Warrants Dec 2020 A       | 200,000,000  | 2020/06/18 | 2020/12/17 70.00  |
| 14564    | Credit Suisse AG - JD.com European Warrants Dec 2020 B       | 200,000,000  | 2020/06/18 | 2020/12/17 60.00  |
| 14569    | Credit Suisse AG - JD.com European Warrants Dec 2020 C       | 200,000,000  | 2020/06/18 | 2020/12/17 50.00  |
| 14570    | Credit Suisse AG - JD.com European Warrants Dec 2020 D       | 200,000,000  | 2020/06/18 | 2020/12/17 50.00  |
| 14573    | Credit Suisse AG - JD.com European Warrants Dec 2020 E       | 200,000,000  | 2020/06/18 | 2020/12/31 50.00  |
| 14575    | Credit Suisse AG - JD.com European Warrants Dec 2020 F       | 200,000,000  | 2020/06/18 | 2020/12/17 50.00  |
| 14579    | Credit Suisse AG - JD.com European Warrants Dec 2020 G       | 200,000,000  | 2020/06/18 | 2020/12/17 50.00  |
| 14481    | Credit Suisse AG - Ping An European Warrants Oct 2020 B      | 150,000,000  | 2020/06/18 | 2020/10/27 22.50  |
| 14708    | Citigroup Global - HKEX European Warrants Sep 2020 C         | 100,000,000  | 2020/06/18 | 2020/09/25 15.00  |
| 14703    | Citigroup Global - HKEX European Put Warrants Dec 2020 A     | 100,000,000  | 2020/06/18 | 2020/12/01 15.00  |
| 14713    | Citigroup Global - JD.com European Warrants Jan 2021 A       | 100,000,000  | 2020/06/18 | 2021/01/07 25.00  |
| 14712    | Citigroup Global - JD.com European Warrants Feb 2021 A       | 100,000,000  | 2020/06/18 | 2021/02/16 25.00  |
| 14707    | Citigroup Global - Meituan European Warrants Dec 2020 D      | 100,000,000  | 2020/06/18 | 2020/12/01 26.50  |
| 14530    | Bank of East Asia - JD.com European Warrants Dec 2020 A      | 60,000,000   | 2020/06/18 | 2020/12/18 19.20  |
| 14531    | Bank of East Asia - JD.com European Warrants Jan 2021 A      | 60,000,000   | 2020/06/18 | 2021/01/29 15.60  |
| 14526    | Bank of East Asia - JD.com European Warrants Feb 2021 A      | 60,000,000   | 2020/06/18 | 2021/02/03 29.40  |
| 14532    | Bank of East Asia - JD.com European Warrants Mar 2021 A      | 60,000,000   | 2020/06/18 | 2021/03/30 15.00  |
| 14652    | Goldman Sachs SP (Asia) - AAC Tech Euro Wts Oct 2020 A       | 50,000,000   | 2020/06/18 | 2020/10/05 11.25  |
| 14655    | Goldman Sachs SP (Asia) - Evergrande European Wts Sep 2020 A | 80,000,000   | 2020/06/18 | 2020/09/23 12.00  |
| 14663    | Goldman Sachs SP (Asia) - Galaxy Ent European Wts Nov 2020 A | 80,000,000   | 2020/06/18 | 2020/11/25 12.00  |
| 14642    | Goldman Sachs SP (Asia) - JD.com European Warrants Dec 2020A | 150,000,000  | 2020/06/18 | 2020/12/18 37.50  |
| 14646    | Goldman Sachs SP (Asia) - JD.com European Warrants Dec 2020B | 150,000,000  | 2020/06/18 | 2020/12/18 37.50  |
| 14647    | Goldman Sachs SP (Asia) - JD.com European Warrants Dec 2020C | 150,000,000  | 2020/06/18 | 2020/12/31 37.50  |
| 14651    | Goldman Sachs SP (Asia) - JD.com European Warrants Dec 2020D | 150,000,000  | 2020/06/18 | 2020/12/24 37.50  |
| 14648    | Goldman Sachs SP (Asia) - JD.com European Warrants Jan 2021A | 150,000,000  | 2020/06/18 | 2021/01/29 37.50  |
| 14653    | Goldman Sachs SP (Asia) - Tencent European Put Wt Nov 2020 D | 100,000,000  | 2020/06/18 | 2020/11/23 15.00  |
| 14431    | HK Bank - Alibaba European Put Warrants Dec 2020 B           | 100,000,000  | 2020/06/18 | 2020/12/31 25.00  |
| 14636    | HK Bank - JD.com European Warrants Dec 2020 A                | 100,000,000  | 2020/06/18 | 2020/12/17 25.00  |
| 14641    | HK Bank - JD.com European Warrants Feb 2021 A                | 100,000,000  | 2020/06/18 | 2021/02/01 25.00  |
| 14640    | HK Bank - JD.com European Warrants Mar 2021 A                | 100,000,000  | 2020/06/18 | 2021/03/01 25.00  |
| 14432    | HK Bank - SMIC European Warrants Dec 2020 B                  | 100,000,000  | 2020/06/18 | 2020/12/31 25.00  |
| 14684    | Haitong Int'l Sec - HKEX European Warrants Mar 2021 A        | 60,000,000   | 2020/06/18 | 2021/03/31 10.80  |
| 14683    | Haitong Int'l Sec - HKEX European Put Warrants Dec 2020 A    | 100,000,000  | 2020/06/18 | 2020/12/31 25.00  |
| 14512    | J P Morgan SP BV - HSI European Warrants Dec 2020 D          | 400,000,000  | 2020/06/18 | 2020/12/30 60.40  |
| 14543    | J P Morgan SP BV - JD.com European Warrants Dec 2020 A       | 200,000,000  | 2020/06/18 | 2020/12/17 65.20  |
| 14545    | J P Morgan SP BV - JD.com European Warrants Dec 2020 B       | 200,000,000  | 2020/06/18 | 2020/12/17 56.40  |
| 14546    | J P Morgan SP BV - JD.com European Warrants Dec 2020 C       | 200,000,000  | 2020/06/18 | 2020/12/17 51.00  |
| 14549    | J P Morgan SP BV - JD.com European Warrants Dec 2020 D       | 200,000,000  | 2020/06/18 | 2020/12/31 50.60  |
| 14552    | J P Morgan SP BV - JD.com European Warrants Dec 2020 E       | 100,000,000  | 2020/06/18 | 2020/12/17 27.90  |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 到期日(百萬港元)  | 集資金額  |
|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 14557    | J P Morgan SP BV - JD.com European Warrants Feb 2021 A       | 100,000,000  | 2020/06/18 | 2021/02/26 | 30.10 |
| 14559    | J P Morgan SP BV - JD.com European Warrants Feb 2021 B       | 200,000,000  | 2020/06/18 | 2021/02/26 | 51.80 |
| 14551    | J P Morgan SP BV - JD.com European Warrants Mar 2021 A       | 200,000,000  | 2020/06/18 | 2021/03/31 | 50.40 |
| 14506    | J P Morgan SP BV - Meituan European Warrants Jan 2021 B      | 200,000,000  | 2020/06/18 | 2021/01/29 | 50.00 |
| 14511    | J P Morgan SP BV - Meituan European Warrants Mar 2021 B      | 100,000,000  | 2020/06/18 | 2021/03/30 | 25.00 |
| 14493    | J P Morgan SP BV - Meituan European Put Warrants Dec 2020 G  | 200,000,000  | 2020/06/18 | 2020/12/17 | 52.60 |
| 14517    | J P Morgan SP BV - Meituan European Put Warrants Dec 2020 H  | 200,000,000  | 2020/06/18 | 2020/12/23 | 30.80 |
| 14494    | J P Morgan SP BV - Tencent European Warrants Dec 2020 C      | 250,000,000  | 2020/06/18 | 2020/12/31 | 62.75 |
| 14437    | Macquarie Bank Ltd. - Alibaba European Warrants Jan 2021 A   | 40,000,000   | 2020/06/18 | 2021/01/05 | 10.04 |
| 14671    | Macquarie Bank Ltd. - JD.com European Warrants Dec 2020 A    | 34,000,000   | 2020/06/18 | 2020/12/18 | 10.06 |
| 14676    | Macquarie Bank Ltd. - JD.com European Warrants Dec 2020 B    | 29,000,000   | 2020/06/18 | 2020/12/18 | 10.01 |
| 14665    | Macquarie Bank Ltd. - JD.com European Warrants Jan 2021 A    | 40,000,000   | 2020/06/18 | 2021/01/05 | 10.00 |
| 14669    | Macquarie Bank Ltd. - JD.com European Warrants Jan 2021 B    | 35,500,000   | 2020/06/18 | 2021/01/05 | 10.01 |
| 14670    | Macquarie Bank Ltd. - JD.com European Warrants Jan 2021 C    | 40,000,000   | 2020/06/18 | 2021/01/05 | 10.00 |
| 14679    | Macquarie Bank Ltd. - JD.com European Warrants Apr 2021 A    | 40,000,000   | 2020/06/18 | 2021/04/07 | 10.40 |
| 14438    | Macquarie Bank Ltd. - ZTE European Warrants Jul 2021 A       | 20,000,000   | 2020/06/18 | 2021/07/05 | 10.12 |
| 14452    | Morgan Stanley Asia Products Ltd. - HSI European Wts Nov20 C | 150,000,000  | 2020/06/18 | 2020/11/27 | 25.50 |
| 14456    | Morgan Stanley Asia Products Ltd. - HSI European Wts Dec20 C | 150,000,000  | 2020/06/18 | 2020/12/30 | 37.50 |
| 14687    | Morgan Stanley Asia Products Ltd. - JD.com Euro Wts Dec20A   | 88,000,000   | 2020/06/18 | 2020/12/18 | 32.56 |
| 14688    | Morgan Stanley Asia Products Ltd. - JD.com Euro Wts Dec20B   | 88,000,000   | 2020/06/18 | 2020/12/18 | 24.29 |
| 14689    | Morgan Stanley Asia Products Ltd. - JD.com Euro Wts Dec20C   | 88,000,000   | 2020/06/18 | 2020/12/18 | 22.00 |
| 14697    | Morgan Stanley Asia Products Ltd. - JD.com Euro Wts Dec20D   | 88,000,000   | 2020/06/18 | 2020/12/18 | 29.83 |
| 14700    | Morgan Stanley Asia Products Ltd. - JD.com Euro Wts Dec20E   | 88,000,000   | 2020/06/18 | 2020/12/23 | 22.00 |
| 14690    | Morgan Stanley Asia Products Ltd. - JD.com Euro Wts Feb21A   | 88,000,000   | 2020/06/18 | 2021/02/01 | 22.00 |
| 14451    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Nov20 D | 80,000,000   | 2020/06/18 | 2020/11/12 | 15.60 |
| 14457    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Apr21 A | 108,000,000  | 2020/06/18 | 2021/04/01 | 27.00 |
| 14460    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Aug22 A | 108,000,000  | 2020/06/18 | 2022/08/25 | 20.52 |
| 14600    | SG Issuer - BYD Company European Warrants Dec 2020 A         | 25,000,000   | 2020/06/18 | 2020/12/31 | 11.13 |
| 14602    | SG Issuer - China Life European Put Warrants Dec 2020 A      | 60,000,000   | 2020/06/18 | 2020/12/31 | 15.00 |
| 14612    | SG Issuer - JD.com European Warrants Dec 2020 A              | 150,000,000  | 2020/06/18 | 2020/12/17 | 49.50 |
| 14617    | SG Issuer - JD.com European Warrants Dec 2020 B              | 150,000,000  | 2020/06/18 | 2020/12/17 | 43.50 |
| 14622    | SG Issuer - JD.com European Warrants Dec 2020 C              | 150,000,000  | 2020/06/18 | 2020/12/17 | 37.50 |
| 14623    | SG Issuer - JD.com European Warrants Dec 2020 D              | 150,000,000  | 2020/06/18 | 2020/12/17 | 37.50 |
| 14628    | SG Issuer - JD.com European Warrants Dec 2020 E              | 80,000,000   | 2020/06/18 | 2020/12/17 | 30.00 |
| 14631    | SG Issuer - JD.com European Warrants Dec 2020 F              | 80,000,000   | 2020/06/18 | 2020/12/17 | 24.00 |
| 14633    | SG Issuer - JD.com European Warrants Dec 2020 G              | 80,000,000   | 2020/06/18 | 2020/12/17 | 20.00 |
| 14611    | SG Issuer - Meituan European Put Warrants Dec 2020 D         | 120,000,000  | 2020/06/18 | 2020/12/03 | 18.60 |
| 14598    | SG Issuer - Sands China Ltd European Warrants Dec 2020 A     | 60,000,000   | 2020/06/18 | 2020/12/31 | 15.00 |
| 14461    | UBS AG - HSI European Warrants Dec 2020 D                    | 300,000,000  | 2020/06/18 | 2020/12/30 | 75.00 |
| 14450    | UBS AG - Ping An European Warrants Oct 2020 B                | 100,000,000  | 2020/06/18 | 2020/10/27 | 15.10 |
| 14520    | Bank Vontobel - JD.com European Warrants Dec 2020 A          | 40,000,000   | 2020/06/18 | 2020/12/17 | 12.00 |
| 14523    | Bank Vontobel - JD.com European Warrants Dec 2020 B          | 80,000,000   | 2020/06/18 | 2020/12/24 | 20.00 |
| 14718    | BOCI Asia Ltd. - CC Bank European Warrants Nov 2020 A        | 70,000,000   | 2020/06/19 | 2020/11/20 | 10.50 |
| 14761    | BNP Paribas Issuance B.V. - JD.com European Warrants Jan21 B | 60,000,000   | 2020/06/19 | 2021/01/05 | 15.60 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                           | 上市時之<br>發行單位 | 上市日期       | 到期日(百萬港元)  | 集資金額  |
|----------|----------------------------------------------------------------|--------------|------------|------------|-------|
| 14806    | Credit Suisse AG - HEC Pharm European Warrants Dec 2020 B      | 60,000,000   | 2020/06/19 | 2020/12/18 | 15.00 |
| 14811    | Credit Suisse AG - JD.com European Warrants Dec 2020 H         | 200,000,000  | 2020/06/19 | 2020/12/18 | 82.00 |
| 14813    | Credit Suisse AG - JD.com European Warrants Feb 2021 A         | 200,000,000  | 2020/06/19 | 2021/02/26 | 50.00 |
| 14780    | Credit Suisse AG - Meituan European Warrants Apr 2021 A        | 200,000,000  | 2020/06/19 | 2021/04/23 | 38.00 |
| 14777    | Credit Suisse AG - Meituan European Put Warrants Dec 2020 F    | 100,000,000  | 2020/06/19 | 2020/12/18 | 25.00 |
| 14805    | Credit Suisse AG - ZTE European Warrants Dec 2020 A            | 80,000,000   | 2020/06/19 | 2020/12/18 | 20.00 |
| 14749    | Citigroup Global - Alibaba European Put Warrants Oct 2020 A    | 100,000,000  | 2020/06/19 | 2020/10/30 | 15.00 |
| 14735    | Citigroup Global - Galaxy Ent European Warrants Nov 2020 A     | 100,000,000  | 2020/06/19 | 2020/11/24 | 34.00 |
| 14734    | Citigroup Global - HKEX European Put Warrants Dec 2020 B       | 100,000,000  | 2020/06/19 | 2020/12/30 | 25.00 |
| 14733    | Citigroup Global - Meituan European Put Warrants Dec 2020 B    | 100,000,000  | 2020/06/19 | 2020/12/30 | 25.00 |
| 14752    | Citigroup Global - Meituan European Put Warrants Dec 2020 C    | 100,000,000  | 2020/06/19 | 2020/12/02 | 16.10 |
| 14842    | Goldman Sachs SP (Asia) - JD.com European Warrants Dec2020 E   | 150,000,000  | 2020/06/19 | 2020/12/21 | 38.10 |
| 14846    | Goldman Sachs SP (Asia) - JD.com European Warrants Dec2020 F   | 150,000,000  | 2020/06/19 | 2020/12/21 | 37.50 |
| 14845    | Goldman Sachs SP (Asia) - JD.com European Warrants Feb2021 A   | 150,000,000  | 2020/06/19 | 2021/02/26 | 37.50 |
| 14848    | Goldman Sachs SP (Asia) - Meituan Euro Warrants Dec 2020 H     | 80,000,000   | 2020/06/19 | 2020/12/01 | 18.24 |
| 14840    | Goldman Sachs SP (Asia) - NetEase European Warrants Dec20 D    | 100,000,000  | 2020/06/19 | 2020/12/04 | 15.00 |
| 14847    | Goldman Sachs SP (Asia) - Tencent European Wts Nov 2020 E      | 150,000,000  | 2020/06/19 | 2020/11/16 | 22.50 |
| 14754    | HK Bank - JD.com European Warrants Dec 2020 B                  | 100,000,000  | 2020/06/19 | 2020/12/18 | 26.00 |
| 14756    | HK Bank - JD.com European Warrants Dec 2020 C                  | 100,000,000  | 2020/06/19 | 2020/12/31 | 25.00 |
| 14722    | HK Bank - Meituan Dianping European Put Warrants Dec 2020 D    | 100,000,000  | 2020/06/19 | 2020/12/28 | 15.00 |
| 14717    | HK Bank - SMIC European Warrants Dec 2020 C                    | 100,000,000  | 2020/06/19 | 2020/12/31 | 25.00 |
| 14839    | Haitong Int'l Sec - Ali Health European Warrants Oct 2020 B    | 80,000,000   | 2020/06/19 | 2020/10/20 | 16.00 |
| 14837    | Haitong Int'l Sec - BYD Company European Warrants Apr 2021 A   | 100,000,000  | 2020/06/19 | 2021/04/27 | 15.00 |
| 14836    | Haitong Int'l Sec - BYD Electronic European Wts Nov 2020 A     | 100,000,000  | 2020/06/19 | 2020/11/17 | 20.00 |
| 14834    | Haitong Int'l Sec - Cathay Pacific European Warrants Jun21 A   | 60,000,000   | 2020/06/19 | 2021/06/30 | 15.00 |
| 14821    | J P Morgan SP BV - JD.com European Warrants Dec 2020 F         | 200,000,000  | 2020/06/19 | 2020/12/18 | 68.40 |
| 14823    | J P Morgan SP BV - JD.com European Warrants Dec 2020 G         | 200,000,000  | 2020/06/19 | 2020/12/18 | 80.80 |
| 14724    | Macquarie Bank Ltd. - China Railway European Wts Apr 2021 A    | 26,500,000   | 2020/06/19 | 2021/04/07 | 10.07 |
| 14825    | Macquarie Bank Ltd. - JD.com European Warrants Jan 2021 D      | 25,200,000   | 2020/06/19 | 2021/01/29 | 10.00 |
| 14826    | Macquarie Bank Ltd. - JD.com European Warrants Mar 2021 A      | 34,100,000   | 2020/06/19 | 2021/03/02 | 10.03 |
| 14831    | Morgan Stanley Asia Products Ltd. - JD.com Euro Wts Mar21A     | 88,000,000   | 2020/06/19 | 2021/03/22 | 22.00 |
| 14832    | Morgan Stanley Asia Products Ltd - Jiangxi Copper Eu Wt Mar21A | 40,000,000   | 2020/06/19 | 2021/03/30 | 10.00 |
| 14829    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Jan21 B   | 68,000,000   | 2020/06/19 | 2021/01/25 | 17.00 |
| 14830    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Mar21 B   | 98,000,000   | 2020/06/19 | 2021/03/01 | 24.50 |
| 14716    | Morgan Stanley Asia Products Ltd. - Meituan Eu Put Wt Dec20D   | 80,000,000   | 2020/06/19 | 2020/12/04 | 15.76 |
| 14762    | SG Issuer - Galaxy Ent European Put Warrants Dec 2020 A        | 40,000,000   | 2020/06/19 | 2020/12/31 | 16.00 |
| 14765    | SG Issuer - JD.com European Warrants Dec 2020 H                | 150,000,000  | 2020/06/19 | 2020/12/18 | 56.25 |
| 14773    | SG Issuer - NetEase European Warrants Dec 2020 G               | 200,000,000  | 2020/06/19 | 2020/12/07 | 53.00 |
| 14725    | UBS AG - Meituan European Warrants Jan 2021 B                  | 100,000,000  | 2020/06/19 | 2021/01/11 | 25.00 |
| 14726    | UBS AG - ZTE European Warrants Nov 2020 A                      | 50,000,000   | 2020/06/19 | 2020/11/23 | 12.50 |
| 21367#   | Credit Suisse AG - Xiaomi European Warrants Sep 2020 D         | 180,000,000  | 2020/06/19 | 2020/09/30 | 10.08 |
| 14853    | BOCI Asia Ltd. - HSCEI European Warrants Dec 2020 A            | 100,000,000  | 2020/06/22 | 2020/12/30 | 25.00 |
| 14854    | BOCI Asia Ltd. - HSCEI European Put Warrants Dec 2020 B        | 100,000,000  | 2020/06/22 | 2020/12/30 | 20.00 |
| 14851    | BOCI Asia Ltd. - Meituan European Warrants Dec 2020 G          | 100,000,000  | 2020/06/22 | 2020/12/30 | 25.00 |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 14857    | BNP Paribas Issuance B.V. - Geely Auto Euro Wts Jan 2021 B   | 40,000,000   | 2020/06/22 | 2021/01/05 10.00  |
| 14856    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Dec 2020 C | 40,000,000   | 2020/06/22 | 2020/12/02 10.00  |
| 14884    | Credit Suisse AG - CITIC Sec European Warrants Mar 2021 A    | 70,000,000   | 2020/06/22 | 2021/03/26 10.50  |
| 14886    | Credit Suisse AG - HSBC European Wts Nov 2020 B              | 100,000,000  | 2020/06/22 | 2020/11/19 15.00  |
| 14900    | Citigroup Global - Alibaba Group Euro Warrants Oct 2020 D    | 100,000,000  | 2020/06/22 | 2020/10/27 17.70  |
| 14897    | Citigroup Global - BYD Company European Warrants Oct 2020 A  | 100,000,000  | 2020/06/22 | 2020/10/21 18.60  |
| 14892    | Citigroup Global - HKEX European Warrants Nov 2020 A         | 100,000,000  | 2020/06/22 | 2020/11/26 15.00  |
| 14893    | Citigroup Global - Tencent European Warrants Sep 2020 D      | 100,000,000  | 2020/06/22 | 2020/09/28 29.00  |
| 14899    | Citigroup Global - Tencent European Warrants Nov 2020 A      | 100,000,000  | 2020/06/22 | 2020/11/16 15.00  |
| 14909    | Goldman Sachs SP (Asia) - AIA European Put Wts Apr 2021 A    | 100,000,000  | 2020/06/22 | 2021/04/23 15.00  |
| 14907    | Goldman Sachs SP (Asia) - HKEX European Warrants Apr 2021 A  | 150,000,000  | 2020/06/22 | 2021/04/23 22.50  |
| 14921    | Goldman Sachs SP (Asia) - Meituan Euro Warrants Jan 2021 A   | 150,000,000  | 2020/06/22 | 2021/01/25 22.50  |
| 14913    | Goldman Sachs SP (Asia) - Sands China Ltd Euro Wts Sep 2020B | 80,000,000   | 2020/06/22 | 2020/09/23 12.00  |
| 14890    | Haitong Int'l Sec - Avichina European Warrants Dec 2020 A    | 60,000,000   | 2020/06/22 | 2020/12/21 15.00  |
| 14889    | Haitong Int'l Sec - HEC Pharm European Warrants Jan 2021 A   | 60,000,000   | 2020/06/22 | 2021/01/12 15.00  |
| 14881    | J P Morgan SP BV - Meituan European Warrants Jan 2021 C      | 100,000,000  | 2020/06/22 | 2021/01/25 19.10  |
| 14877    | J P Morgan SP BV - Tencent European Warrants Oct 2020 B      | 250,000,000  | 2020/06/22 | 2020/10/12 37.50  |
| 14876    | J P Morgan SP BV - Xiaomi European Warrants Sep 2020 G       | 100,000,000  | 2020/06/22 | 2020/09/30 15.00  |
| 14883    | J P Morgan SP BV - Xiaomi European Warrants Apr 2021 A       | 200,000,000  | 2020/06/22 | 2021/04/23 33.20  |
| 14864    | Macquarie Bank Ltd. - CGN Power European Warrants Sep 2021 A | 40,000,000   | 2020/06/22 | 2021/09/02 10.04  |
| 14868    | Macquarie Bank Ltd. - Ping An European Warrants Jan 2023 A   | 40,000,000   | 2020/06/22 | 2023/01/04 10.04  |
| 14865    | Macquarie Bank Ltd. - Tencent European Put Wts Jan 2021 B    | 6,400,000    | 2020/06/22 | 2021/01/04 10.13  |
| 14871    | SG Issuer - Ali Health European Warrants Dec 2020 A          | 40,000,000   | 2020/06/22 | 2020/12/31 10.00  |
| 14872    | SG Issuer - HSBC European Warrants Nov 2020 A                | 80,000,000   | 2020/06/22 | 2020/11/23 23.20  |
| 14873    | SG Issuer - PA Gooddoctor European Warrants Jul 2021 A       | 100,000,000  | 2020/06/22 | 2021/07/30 25.00  |
| 14862    | UBS AG - Galaxy Ent European Put Warrants Dec 2020 B         | 60,000,000   | 2020/06/22 | 2020/12/07 11.40  |
| 14858    | UBS AG - Tencent European Warrants Nov 2020 C                | 300,000,000  | 2020/06/22 | 2020/11/16 45.00  |
| 14922    | BOCI Asia Ltd. - Sinopec Corp European Warrants Dec 2020 A   | 70,000,000   | 2020/06/23 | 2020/12/11 10.50  |
| 14923    | BOCI Asia Ltd. - Meituan European Put Warrants Dec 2020 C    | 150,000,000  | 2020/06/23 | 2020/12/03 22.50  |
| 14954    | Credit Suisse AG - Ali Health European Warrants Dec 2020 A   | 40,000,000   | 2020/06/23 | 2020/12/22 15.60  |
| 14937    | Credit Suisse AG - A-Living European Warrants Dec 2020 A     | 30,000,000   | 2020/06/23 | 2020/12/22 18.00  |
| 14945    | Credit Suisse AG - CS Services European Warrants Dec 2020 A  | 30,000,000   | 2020/06/23 | 2020/12/22 13.50  |
| 14956    | Credit Suisse AG - Ch Oilfield European Warrants Dec 2020 A  | 50,000,000   | 2020/06/23 | 2020/12/31 12.50  |
| 14936    | Credit Suisse AG - Nine Dragons European Warrants Feb 2021 A | 50,000,000   | 2020/06/23 | 2021/02/22 10.00  |
| 14974    | Citigroup Global - Meituan European Warrants Dec 2020 E      | 100,000,000  | 2020/06/23 | 2020/12/30 29.00  |
| 14976    | Citigroup Global - Meituan European Warrants Dec 2020 F      | 100,000,000  | 2020/06/23 | 2020/12/30 25.00  |
| 14982    | Citigroup Global - Meituan European Put Warrants Dec 2020 D  | 100,000,000  | 2020/06/23 | 2020/12/30 26.50  |
| 14981    | Citigroup Global - SMIC European Warrants Dec 2020 A         | 100,000,000  | 2020/06/23 | 2020/12/30 26.50  |
| 15000    | Goldman Sachs SP (Asia) - Alibaba European Wts Mar 2021 B    | 150,000,000  | 2020/06/23 | 2021/03/24 24.90  |
| 15002    | Goldman Sachs SP (Asia) - HSI European Put Wts Oct 2020 A    | 150,000,000  | 2020/06/23 | 2020/10/29 22.50  |
| 14988    | Goldman Sachs SP (Asia) - Tencent European Wts Dec 2020 B    | 150,000,000  | 2020/06/23 | 2020/12/18 22.50  |
| 14929    | Haitong Int'l Sec - Kingsoft European Warrants Nov 2020 A    | 100,000,000  | 2020/06/23 | 2020/11/24 25.00  |
| 14971    | J P Morgan SP BV - Alibaba European Warrants Jan 2021 A      | 250,000,000  | 2020/06/23 | 2021/01/29 61.75  |
| 14964    | J P Morgan SP BV - Ali Health European Warrants Dec 2020 A   | 60,000,000   | 2020/06/23 | 2020/12/31 16.56  |

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|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 14961    | J P Morgan SP BV - Evergrande European Warrants Feb 2021 A   | 60,000,000   | 2020/06/23 | 2021/02/26 16.62  |
| 14967    | J P Morgan SP BV - Evergrande European Put Warrants Jan21 A  | 60,000,000   | 2020/06/23 | 2021/01/29 15.00  |
| 14972    | J P Morgan SP BV - HKEX European Warrants Sep 2020 D         | 200,000,000  | 2020/06/23 | 2020/09/30 30.00  |
| 14965    | J P Morgan SP BV - HSI European Put Warrants Dec 2020 C      | 400,000,000  | 2020/06/23 | 2020/12/30 64.80  |
| 14959    | J P Morgan SP BV - Meituan European Warrants Apr 2021 A      | 100,000,000  | 2020/06/23 | 2021/04/09 25.00  |
| 14957    | J P Morgan SP BV - Tencent European Put Warrants Dec 2020 A  | 250,000,000  | 2020/06/23 | 2020/12/31 82.50  |
| 14928    | Morgan Stanley Asia Products Ltd. - Meituan Euro Wts Apr21 A | 88,000,000   | 2020/06/23 | 2021/04/12 22.00  |
| 14932    | SG Issuer - Meituan European Warrants Dec 2020 G             | 80,000,000   | 2020/06/23 | 2020/12/31 20.00  |
| 14926    | UBS AG - China Mobile European Put Warrants Dec 2020 A       | 100,000,000  | 2020/06/23 | 2020/12/28 15.00  |
| 14925    | UBS AG - Meituan European Warrants Jan 2021 C                | 200,000,000  | 2020/06/23 | 2021/01/25 36.40  |
| 14927    | UBS AG - Xiaomi European Warrants Sep 2020 E                 | 100,000,000  | 2020/06/23 | 2020/09/24 15.00  |
| 15003    | BOCI Asia Ltd. - SMIC European Warrants Dec 2020 B           | 80,000,000   | 2020/06/24 | 2020/12/14 21.60  |
| 15073    | BNP Paribas Issuance B.V. - CC Bank Euro Wts Dec 2020 A      | 70,000,000   | 2020/06/24 | 2020/12/02 10.50  |
| 15071    | BNP Paribas Issuance B.V. - Meituan Euro Warrants Jan 2021 G | 40,000,000   | 2020/06/24 | 2021/01/05 10.00  |
| 15077    | BNP Paribas Issuance B.V. - SUNAC European Wts Oct 2020 A    | 60,000,000   | 2020/06/24 | 2020/10/06 10.20  |
| 15085    | Credit Suisse AG - China Lit European Warrants May 2021 A    | 100,000,000  | 2020/06/24 | 2021/05/31 25.00  |
| 15078    | Credit Suisse AG - Meituan European Warrants Dec 2020 J      | 150,000,000  | 2020/06/24 | 2020/12/23 37.50  |
| 15080    | Credit Suisse AG - Sino Biopharm European Wts Dec 2020 B     | 40,000,000   | 2020/06/24 | 2020/12/23 10.00  |
| 15079    | Credit Suisse AG - Sinopharm European Warrants Jan 2021 A    | 40,000,000   | 2020/06/24 | 2021/01/29 10.00  |
| 15081    | Credit Suisse AG - SMIC European Warrants Dec 2020 B         | 100,000,000  | 2020/06/24 | 2020/12/23 25.00  |
| 15082    | Credit Suisse AG - SMIC European Put Warrants Dec 2020 A     | 50,000,000   | 2020/06/24 | 2020/12/23 14.00  |
| 15083    | Credit Suisse AG - Xinyi Solar European Warrants Jan 2021 A  | 60,000,000   | 2020/06/24 | 2021/01/29 15.00  |
| 15015    | Citigroup Global - AIA European Put Warrants Sep 2020 A      | 100,000,000  | 2020/06/24 | 2020/09/24 19.50  |
| 15023    | Citigroup Global - Ping An European Put Warrants Sep 2020 A  | 100,000,000  | 2020/06/24 | 2020/09/24 23.90  |
| 15028    | Citigroup Global - Tencent European Warrants Nov 2020 B      | 100,000,000  | 2020/06/24 | 2020/11/23 20.50  |
| 15025    | Citigroup Global - Tencent European Warrants Dec 2020 A      | 100,000,000  | 2020/06/24 | 2020/12/23 19.60  |
| 15016    | Citigroup Global - Tencent European Put Warrants Dec 2020 A  | 100,000,000  | 2020/06/24 | 2020/12/28 37.00  |
| 15008    | Guotai Junan - Meituan European Put Warrants Jan 2021 B      | 100,000,000  | 2020/06/24 | 2021/01/08 15.00  |
| 15012    | Guotai Junan - Tencent European Warrants Nov 2020 B          | 100,000,000  | 2020/06/24 | 2020/11/16 20.00  |
| 15093    | Goldman Sachs SP (Asia) - Alibaba European Wts Sep 2021 A    | 150,000,000  | 2020/06/24 | 2021/09/27 32.40  |
| 15088    | Goldman Sachs SP (Asia) - Meituan Euro Warrants Dec 2020 I   | 150,000,000  | 2020/06/24 | 2020/12/04 28.50  |
| 15086    | Goldman Sachs SP (Asia) - Meituan Euro Put Wts Dec 2020 E    | 100,000,000  | 2020/06/24 | 2020/12/23 15.00  |
| 15007    | HK Bank - Zhongsheng Hldg European Warrants Dec 2020 A       | 50,000,000   | 2020/06/24 | 2020/12/31 15.00  |
| 15070    | Haitong Int'l Sec - CC Bank European Warrants Nov 2020 A     | 100,000,000  | 2020/06/24 | 2020/11/10 16.00  |
| 15059    | Haitong Int'l Sec - CITIC European Warrants Sep 2021 A       | 60,000,000   | 2020/06/24 | 2021/09/28 10.20  |
| 15057    | Haitong Int'l Sec - Fosun Intl European Warrants Dec 2020 A  | 60,000,000   | 2020/06/24 | 2020/12/23 12.60  |
| 15056    | Haitong Int'l Sec - Guangdong Inv European Warrants May21 A  | 60,000,000   | 2020/06/24 | 2021/05/28 15.00  |
| 15061    | Haitong Int'l Sec - Hua Hong Semi European Wts Dec 2020 A    | 60,000,000   | 2020/06/24 | 2020/12/07 16.80  |
| 15064    | Haitong Int'l Sec - KECL European Warrants Oct 2020 A        | 60,000,000   | 2020/06/24 | 2020/10/21 17.40  |
| 15055    | Haitong Int'l Sec - Sino Biopharm European Wts May 2021 A    | 60,000,000   | 2020/06/24 | 2021/05/28 15.00  |
| 15062    | Haitong Int'l Sec - Weigao Group European Warrants Dec 2020A | 60,000,000   | 2020/06/24 | 2020/12/10 11.40  |
| 15047    | J P Morgan SP BV - China Lit European Warrants Jun 2021 A    | 60,000,000   | 2020/06/24 | 2021/06/30 15.00  |
| 15046    | J P Morgan SP BV - Kingdee Intl European Warrants Dec 2020 A | 60,000,000   | 2020/06/24 | 2020/12/31 21.06  |
| 15045    | Macquarie Bank Ltd. - Sino Biopharm European Wts Mar 2021 A  | 40,000,000   | 2020/06/24 | 2021/03/02 10.00  |



# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 到期日(百萬港元)  | 集資金額  |
|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 15044    | Macquarie Bank Ltd. - Tencent European Warrants Jan 2022 A   | 38,000,000   | 2020/06/24 | 2022/01/03 | 10.03 |
| 15014    | Morgan Stanley Asia Products Ltd. - Alibaba Eu Put Wt Dec20A | 88,000,000   | 2020/06/24 | 2020/12/23 | 22.00 |
| 15013    | Morgan Stanley Asia Products Ltd. - China Tower Eu Wt May21A | 88,000,000   | 2020/06/24 | 2021/05/10 | 13.55 |
| 15038    | UBS AG - Alibaba European Warrants Jan 2021 A                | 100,000,000  | 2020/06/24 | 2021/01/26 | 17.60 |
| 15031    | UBS AG - Meituan European Warrants Feb 2021 A                | 200,000,000  | 2020/06/24 | 2021/02/22 | 50.00 |
| 15033    | UBS AG - NagaCorp European Warrants Dec 2020 A               | 40,000,000   | 2020/06/24 | 2020/12/30 | 10.00 |
| 15043    | UBS AG - Tencent European Warrants Dec 2020 B                | 300,000,000  | 2020/06/24 | 2020/12/18 | 97.50 |
| 15042    | UBS AG - Tencent European Put Warrants Nov 2020 D            | 300,000,000  | 2020/06/24 | 2020/11/23 | 57.60 |
| 15041    | UBS AG - Xiaomi European Put Warrants Dec 2020 C             | 100,000,000  | 2020/06/24 | 2020/12/22 | 15.00 |
| 15052    | Bank Vontobel - Ping An European Warrants Feb 2021 A         | 40,000,000   | 2020/06/24 | 2021/02/05 | 10.00 |
| 15053    | Bank Vontobel - Ping An European Put Warrants Jan 2021 A     | 40,000,000   | 2020/06/24 | 2021/01/22 | 14.40 |
| 15051    | Bank Vontobel - Tencent European Warrants Jan 2021 A         | 80,000,000   | 2020/06/24 | 2021/01/15 | 36.00 |
| 15049    | Bank Vontobel - Tencent European Warrants Feb 2021 A         | 100,000,000  | 2020/06/24 | 2021/02/19 | 25.00 |
| 15118    | BOCI Asia Ltd. - HKEX European Put Warrants Nov 2020 B       | 100,000,000  | 2020/06/26 | 2020/11/30 | 15.00 |
| 15117    | BOCI Asia Ltd. - HSBC European Warrants Oct 2020 B           | 70,000,000   | 2020/06/26 | 2020/10/22 | 10.50 |
| 15116    | BOCI Asia Ltd. - ZTE European Warrants Dec 2020 A            | 40,000,000   | 2020/06/26 | 2020/12/30 | 10.00 |
| 15094    | BNP Paribas Issuance B.V. - China Mobile Euro Wts Jan 2021 B | 40,000,000   | 2020/06/26 | 2021/01/05 | 10.40 |
| 15096    | BNP Paribas Issuance B.V. - SMIC European Wts Jan 2021 C     | 40,000,000   | 2020/06/26 | 2021/01/05 | 10.00 |
| 15158    | Credit Suisse AG - JD.com European Warrants Dec 2020 I       | 200,000,000  | 2020/06/26 | 2020/12/28 | 50.00 |
| 15154    | Credit Suisse AG - Kingdee Int'l European Warrants Dec 2020A | 40,000,000   | 2020/06/26 | 2020/12/28 | 12.00 |
| 15153    | Credit Suisse AG - Meituan European Warrants Dec 2020 K      | 200,000,000  | 2020/06/26 | 2020/12/28 | 50.00 |
| 15162    | Credit Suisse AG - ZTE European Put Warrants Dec 2020 A      | 40,000,000   | 2020/06/26 | 2020/12/28 | 13.20 |
| 15182    | Citigroup Global - JD.com European Warrants Dec 2020 B       | 100,000,000  | 2020/06/26 | 2020/12/10 | 41.50 |
| 15190    | Citigroup Global - JD.com European Warrants Dec 2020 C       | 100,000,000  | 2020/06/26 | 2020/12/10 | 28.00 |
| 15197    | Citigroup Global - Meituan European Warrants Dec 2020 G      | 100,000,000  | 2020/06/26 | 2020/12/04 | 24.30 |
| 15179    | Citigroup Global - SMIC European Warrants Dec 2020 B         | 100,000,000  | 2020/06/26 | 2020/12/30 | 30.50 |
| 15183    | Citigroup Global - Tencent European Put Warrants Nov 2020 C  | 100,000,000  | 2020/06/26 | 2020/11/16 | 17.20 |
| 15198    | Goldman Sachs SP (Asia) - Geely Auto European Wts Dec 2020 C | 80,000,000   | 2020/06/26 | 2020/12/23 | 12.00 |
| 15200    | Goldman Sachs SP (Asia) - Meituan Euro Warrants Dec 2020 J   | 150,000,000  | 2020/06/26 | 2020/12/28 | 37.50 |
| 15209    | Goldman Sachs SP (Asia) - Tencent European Wts Dec 2020 C    | 150,000,000  | 2020/06/26 | 2020/12/18 | 22.80 |
| 15170    | Haitong Int'l Sec - Alibaba European Warrants Dec 2020 A     | 80,000,000   | 2020/06/26 | 2020/12/24 | 12.00 |
| 15171    | Haitong Int'l Sec - BYD Company European Warrants Oct 2020 A | 40,000,000   | 2020/06/26 | 2020/10/20 | 13.20 |
| 15164    | Haitong Int'l Sec - China Lit European Warrants May 2021 A   | 50,000,000   | 2020/06/26 | 2021/05/20 | 12.50 |
| 15165    | Haitong Int'l Sec - Meituan European Put Warrants Dec 2020 A | 60,000,000   | 2020/06/26 | 2020/12/10 | 10.80 |
| 15166    | Haitong Int'l Sec - Sinopharm European Warrants Oct 2020 A   | 80,000,000   | 2020/06/26 | 2020/10/23 | 12.00 |
| 15169    | Haitong Int'l Sec - Zijin Mining European Warrants Nov 2020A | 60,000,000   | 2020/06/26 | 2020/11/18 | 13.80 |
| 15163    | Haitong Int'l Sec - ZTE European Warrants Dec 2020 A         | 60,000,000   | 2020/06/26 | 2020/12/28 | 25.20 |
| 15152    | J P Morgan SP BV - BYD Company European Warrants Oct 2020 A  | 50,000,000   | 2020/06/26 | 2020/10/21 | 18.70 |
| 15151    | J P Morgan SP BV - BYD Company European Put Wts Sep 2021 A   | 100,000,000  | 2020/06/26 | 2021/09/30 | 21.90 |
| 15150    | J P Morgan SP BV - Hua Hong Semi European Warrants Dec 2020A | 60,000,000   | 2020/06/26 | 2020/12/31 | 21.36 |
| 15178    | J P Morgan SP BV - JD.com European Warrants Dec 2020 H       | 200,000,000  | 2020/06/26 | 2020/12/31 | 50.00 |
| 15141    | J P Morgan SP BV - SMIC European Wts Dec 2020 C              | 60,000,000   | 2020/06/26 | 2020/12/31 | 18.72 |
| 15138    | J P Morgan SP BV - Tencent European Warrants Jan 2021 A      | 250,000,000  | 2020/06/26 | 2021/01/29 | 62.50 |
| 15148    | J P Morgan SP BV - ZTE European Warrants Dec 2020 A          | 60,000,000   | 2020/06/26 | 2020/12/31 | 22.62 |



# 主 板 認 股 權 證

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|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 15132    | Macquarie Bank Ltd. - Alibaba European Warrants Oct 2020 D   | 58,000,000   | 2020/06/26 | 2020/10/06 10.03  |
| 15098    | Macquarie Bank Ltd. - Luye Pharma European Warrants Jul21 A  | 40,000,000   | 2020/06/26 | 2021/07/16 10.04  |
| 15097    | Macquarie Bank Ltd. - Sinopharm European Warrants Mar 2021 A | 40,000,000   | 2020/06/26 | 2021/03/02 10.04  |
| 15134    | Morgan Stanley Asia Products Ltd. - Alibaba Eu Put Wt Dec20B | 80,000,000   | 2020/06/26 | 2020/12/23 16.08  |
| 15135    | Morgan Stanley Asia Products Ltd. - ZTE Euro Wts Dec 2020 A  | 40,000,000   | 2020/06/26 | 2020/12/28 12.68  |
| 15107    | SG Issuer - SMIC European Warrants Dec 2020 C                | 60,000,000   | 2020/06/26 | 2020/12/14 18.00  |
| 15113    | SG Issuer - Tencent European Warrants Dec 2020 C             | 150,000,000  | 2020/06/26 | 2020/12/23 27.75  |
| 15108    | SG Issuer - Tencent European Put Warrants Nov 2020 C         | 100,000,000  | 2020/06/26 | 2020/11/23 24.00  |
| 15115    | SG Issuer - ZTE European Warrants Dec 2020 A                 | 40,000,000   | 2020/06/26 | 2020/12/28 10.60  |
| 15126    | UBS AG - China Lit European Warrants Apr 2021 A              | 100,000,000  | 2020/06/26 | 2021/04/26 25.00  |
| 15122    | UBS AG - China Mobile European Warrants Dec 2020 A           | 100,000,000  | 2020/06/26 | 2020/12/28 25.00  |
| 15128    | UBS AG - China Tower European Warrants May 2021 A            | 70,000,000   | 2020/06/26 | 2021/05/10 10.50  |
| 15124    | UBS AG - Meituan European Warrants Dec 2020 G                | 100,000,000  | 2020/06/26 | 2020/12/28 25.00  |
| 15119    | UBS AG - SMIC European Warrants Dec 2020 D                   | 70,000,000   | 2020/06/26 | 2020/12/28 17.50  |
| 15172    | Bank Vontobel - JD.com European Warrants Feb 2021 A          | 60,000,000   | 2020/06/26 | 2021/02/01 15.60  |
| 15174    | Bank Vontobel - JD.com European Warrants May 2021 A          | 60,000,000   | 2020/06/26 | 2021/05/14 15.00  |
| 15231    | BOCI Asia Ltd. - Tencent European Warrants Dec 2020 D        | 150,000,000  | 2020/06/29 | 2020/12/30 37.50  |
| 15220    | BNP Paribas Issuance B.V. - PA Gooddoctor European Wt Dec20A | 70,000,000   | 2020/06/29 | 2020/12/02 10.50  |
| 15219    | BNP Paribas Issuance B.V. - Sunny Optical Eu Wt Dec 2020 A   | 70,000,000   | 2020/06/29 | 2020/12/02 10.50  |
| 15251    | Credit Suisse AG - KB Laminates European Warrants Dec 2020 A | 60,000,000   | 2020/06/29 | 2020/12/28 15.00  |
| 15253    | Credit Suisse AG - Sino Biopharm European Put Wts Dec 2020 B | 40,000,000   | 2020/06/29 | 2020/12/28 14.40  |
| 15256    | Credit Suisse AG - ZTE European Warrants Dec 2020 B          | 80,000,000   | 2020/06/29 | 2020/12/28 21.60  |
| 15244    | Guotai Junan - HKEX European Warrants Dec 2020 B             | 100,000,000  | 2020/06/29 | 2020/12/07 18.80  |
| 15245    | Guotai Junan - Tencent European Tencent put Warrants Nov20 A | 100,000,000  | 2020/06/29 | 2020/11/10 18.90  |
| 15284    | Goldman Sachs SP (Asia) - Alibaba European Wts Sep 2020 J    | 100,000,000  | 2020/06/29 | 2020/09/29 15.00  |
| 15287    | Goldman Sachs SP (Asia) - CSPC Pharma Euro Wts Mar 2021 A    | 80,000,000   | 2020/06/29 | 2021/03/03 20.00  |
| 15285    | Goldman Sachs SP (Asia) - China Tower Euro Wts May 2021 B    | 80,000,000   | 2020/06/29 | 2021/05/10 12.00  |
| 15215    | HK Bank - SMIC European Warrants Dec 2020 D                  | 100,000,000  | 2020/06/29 | 2020/12/31 25.00  |
| 15216    | HK Bank - Tencent European Put Warrants Dec 2020 B           | 80,000,000   | 2020/06/29 | 2020/12/31 24.00  |
| 15212    | HK Bank - ZTE European Warrants Dec 2021 A                   | 100,000,000  | 2020/06/29 | 2021/12/31 25.00  |
| 15272    | Haitong Int'l Sec - Alibaba European Warrants Dec 2020 B     | 100,000,000  | 2020/06/29 | 2020/12/24 15.00  |
| 15257    | Haitong Int'l Sec - Hua Hong Semi European Wts Dec 2020 B    | 60,000,000   | 2020/06/29 | 2020/12/29 16.80  |
| 15270    | Haitong Int'l Sec - Kingdee Int'l European Wts Mar 2021 A    | 80,000,000   | 2020/06/29 | 2021/03/18 21.60  |
| 15261    | Haitong Int'l Sec - Luye Pharma European Warrants Aug 2021 A | 60,000,000   | 2020/06/29 | 2021/08/10 15.00  |
| 15271    | Haitong Int'l Sec - Meituan European Warrants Dec 2020 G     | 80,000,000   | 2020/06/29 | 2020/12/31 20.00  |
| 15264    | Haitong Int'l Sec - Tencent European Warrants Dec 2020 B     | 80,000,000   | 2020/06/29 | 2020/12/31 20.00  |
| 15241    | J P Morgan SP BV - AIA European Warrants Oct 2020 A          | 100,000,000  | 2020/06/29 | 2020/10/05 22.00  |
| 15242    | J P Morgan SP BV - CICC European Warrants Feb 2021 A         | 80,000,000   | 2020/06/29 | 2021/02/19 14.64  |
| 15228    | Macquarie Bank Ltd. - BOC HK European Warrants Apr 2021 A    | 40,000,000   | 2020/06/29 | 2021/04/07 10.28  |
| 15222    | Macquarie Bank Ltd. - BYD Company European Wts Feb 2021 B    | 30,000,000   | 2020/06/29 | 2021/02/02 10.02  |
| 15227    | Macquarie Bank Ltd. - CC Bank European Warrants Jan 2021 A   | 40,000,000   | 2020/06/29 | 2021/01/05 10.28  |
| 15229    | Macquarie Bank Ltd. - Dongfeng Motor European Wts Jan 2022 A | 40,000,000   | 2020/06/29 | 2022/01/04 10.00  |
| 15223    | Macquarie Bank Ltd. - Evergrande European Wts Jan 2021 A     | 40,000,000   | 2020/06/29 | 2021/01/05 10.00  |
| 15225    | Macquarie Bank Ltd. - HKEX European Warrants Feb 2021 A      | 40,000,000   | 2020/06/29 | 2021/02/02 10.96  |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 15226    | Macquarie Bank Ltd. - HKEX European Put Warrants Feb 2021 A  | 40,000,000   | 2020/06/29 | 2021/02/02 10.08  |
| 15224    | Macquarie Bank Ltd. - Kingsoft European Warrants Jan 2021 A  | 28,000,000   | 2020/06/29 | 2021/01/05 10.02  |
| 15248    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Feb21 C | 108,000,000  | 2020/06/29 | 2021/02/03 27.00  |
| 15247    | Morgan Stanley Asia Products Ltd. - ZTE Euro Wts Dec 2020 B  | 60,000,000   | 2020/06/29 | 2020/12/04 10.26  |
| 15238    | UBS AG - BYD Company European Warrants Dec 2020 A            | 50,000,000   | 2020/06/29 | 2020/12/28 13.95  |
| 15240    | UBS AG - Tencent European Warrants Nov 2020 D                | 150,000,000  | 2020/06/29 | 2020/11/12 33.00  |
| 15235    | UBS AG - Tencent European Warrants Jan 2021 B                | 300,000,000  | 2020/06/29 | 2021/01/18 75.00  |
| 15236    | UBS AG - Tencent European Put Warrants Dec 2020 A            | 300,000,000  | 2020/06/29 | 2020/12/28 75.00  |
| 15239    | UBS AG - ZTE European Warrants Dec 2020 A                    | 50,000,000   | 2020/06/29 | 2020/12/28 12.50  |
| 15230    | Bank Vontobel - SMIC European Warrants Jan 2021 A            | 40,000,000   | 2020/06/29 | 2021/01/15 13.60  |
| 15308    | BOCI Asia Ltd. - CITIC Sec European Warrants Oct 2020 A      | 70,000,000   | 2020/06/30 | 2020/10/27 10.50  |
| 15306    | BOCI Asia Ltd. - HKEX European Warrants Dec 2020 D           | 50,000,000   | 2020/06/30 | 2020/12/30 12.50  |
| 15302    | BNP Paribas Issuance B.V. - SMIC European Wts Jan 2021 D     | 40,000,000   | 2020/06/30 | 2021/01/05 10.00  |
| 15338    | Credit Suisse AG - BYD Company European Warrants Dec 2020 A  | 50,000,000   | 2020/06/30 | 2020/12/29 20.00  |
| 15333    | Credit Suisse AG - Evergrande European Warrants Dec 2020 B   | 60,000,000   | 2020/06/30 | 2020/12/29 15.00  |
| 15340    | Credit Suisse AG - HKEX European Warrants Dec 2020 E         | 150,000,000  | 2020/06/30 | 2020/12/29 37.50  |
| 15335    | Credit Suisse AG - HKEX European Put Warrants Dec 2020 C     | 100,000,000  | 2020/06/30 | 2020/12/29 25.00  |
| 15337    | Credit Suisse AG - Hua Hong Semi European Wts Dec 2020 B     | 40,000,000   | 2020/06/30 | 2020/12/29 10.00  |
| 15339    | Credit Suisse AG - Tencent European Wts Dec 2020 B           | 250,000,000  | 2020/06/30 | 2020/12/29 62.50  |
| 15334    | Credit Suisse AG - Tencent Euro Put Wts Dec 2020 A           | 200,000,000  | 2020/06/30 | 2020/12/29 50.00  |
| 15365    | Citigroup Global - HKEX European Warrants Dec 2020 C         | 100,000,000  | 2020/06/30 | 2020/12/07 22.50  |
| 15364    | Citigroup Global - HKEX European Put Warrants Dec 2020 C     | 100,000,000  | 2020/06/30 | 2020/12/30 25.00  |
| 15366    | Citigroup Global - JD.com European Warrants Dec 2020 D       | 100,000,000  | 2020/06/30 | 2020/12/11 27.50  |
| 15363    | Citigroup Global - Tencent European Warrants Dec 2020 B      | 100,000,000  | 2020/06/30 | 2020/12/30 25.00  |
| 15368    | Citigroup Global - Tencent European Put Warrants Dec 2020 B  | 100,000,000  | 2020/06/30 | 2020/12/30 44.00  |
| 15354    | Goldman Sachs SP (Asia) - HKEX European Put Wts Dec 2020 B   | 100,000,000  | 2020/06/30 | 2020/12/23 15.00  |
| 15362    | Goldman Sachs SP (Asia) - Tencent European Wts Dec 2020 D    | 150,000,000  | 2020/06/30 | 2020/12/31 37.80  |
| 15361    | Goldman Sachs SP (Asia) - Tencent European Put Wt Dec 2020 A | 100,000,000  | 2020/06/30 | 2020/12/31 25.10  |
| 15310    | HK Bank - Tencent European Warrants Dec 2020 B               | 80,000,000   | 2020/06/30 | 2020/12/31 20.00  |
| 15323    | J P Morgan SP BV - CAM CSI300 European Warrants Nov 2020 A   | 80,000,000   | 2020/06/30 | 2020/11/23 12.96  |
| 15317    | J P Morgan SP BV - GF Sec European Warrants Jan 2021 A       | 60,000,000   | 2020/06/30 | 2021/01/29 15.18  |
| 15313    | J P Morgan SP BV - HKEX European Warrants Jan 2021 B         | 100,000,000  | 2020/06/30 | 2021/01/22 25.20  |
| 15316    | J P Morgan SP BV - HKEX European Put Wts Jan 2021 A          | 200,000,000  | 2020/06/30 | 2021/01/29 52.20  |
| 15321    | J P Morgan SP BV - Meituan European Warrants Feb 2021 C      | 100,000,000  | 2020/06/30 | 2021/02/26 25.10  |
| 15322    | J P Morgan SP BV - SMIC European Wts Dec 2020 D              | 60,000,000   | 2020/06/30 | 2020/12/31 16.62  |
| 15318    | J P Morgan SP BV - Tencent European Warrants Feb 2021 B      | 200,000,000  | 2020/06/30 | 2021/02/26 50.00  |
| 15327    | J P Morgan SP BV - Tencent European Put Warrants Dec 2020 B  | 250,000,000  | 2020/06/30 | 2020/12/31 38.00  |
| 15320    | J P Morgan SP BV - Tencent European Put Warrants Dec 2022 A  | 500,000,000  | 2020/06/30 | 2022/12/30 126.00 |
| 15325    | J P Morgan SP BV - ZTE European Warrants Oct 2020 A          | 60,000,000   | 2020/06/30 | 2020/10/06 12.90  |
| 15292    | Macquarie Bank Ltd. - AIA European Warrants Jan 2021 A       | 30,000,000   | 2020/06/30 | 2021/01/05 10.05  |
| 15301    | Macquarie Bank Ltd. - Ch Comm Cons European Wts Apr 2021 A   | 30,000,000   | 2020/06/30 | 2021/04/07 10.26  |
| 15296    | Macquarie Bank Ltd. - Hua Hong Semi Euro Warrants Jan 2021 A | 39,000,000   | 2020/06/30 | 2021/01/18 10.02  |
| 15298    | Macquarie Bank Ltd. - Meituan European Warrants Jan 2021 E   | 30,000,000   | 2020/06/30 | 2021/01/05 10.65  |
| 15299    | Macquarie Bank Ltd. - Meituan European Warrants Jan 2021 F   | 40,000,000   | 2020/06/30 | 2021/01/05 10.04  |

# 主 板 認 股 權 證

| 股份<br>代號 | 衍生權證                                                         | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 15297    | Macquarie Bank Ltd. - Meituan European Warrants Oct 2021 B   | 36,000,000   | 2020/06/30 | 2021/10/05 10.19  |
| 15290    | Macquarie Bank Ltd. - Tencent European Warrants Dec 2020 H   | 40,000,000   | 2020/06/30 | 2020/12/31 10.04  |
| 15351    | Morgan Stanley Asia Products Ltd. - Haitong Sec Eu Wt Mar21A | 68,000,000   | 2020/06/30 | 2021/03/30 10.27  |
| 15352    | Morgan Stanley Asia Products Ltd. - Tencent Euro Wts Nov20E  | 80,000,000   | 2020/06/30 | 2020/11/24 12.00  |
| 15348    | SG Issuer - HKEX European Warrants Dec 2020 E                | 80,000,000   | 2020/06/30 | 2020/12/31 20.00  |
| 15343    | SG Issuer - HKEX European Put Warrants Dec 2020 B            | 100,000,000  | 2020/06/30 | 2020/12/08 18.00  |
| 15349    | SG Issuer - SMIC European Warrants Dec 2020 D                | 60,000,000   | 2020/06/30 | 2020/12/29 15.30  |
| 15350    | SG Issuer - Tencent European Warrants Dec 2020 D             | 200,000,000  | 2020/06/30 | 2020/12/31 50.00  |
| 15345    | SG Issuer - ZTE European Put Warrants Dec 2020 A             | 30,000,000   | 2020/06/30 | 2020/12/29 11.55  |
| 15311    | UBS AG - HKEX European Warrants Jan 2021 A                   | 300,000,000  | 2020/06/30 | 2021/01/18 75.00  |
| 15312    | UBS AG - Jiangxi Copper European Warrants Dec 2020 A         | 60,000,000   | 2020/06/30 | 2020/12/23 10.08  |
| 15329    | Bank Vontobel - HKEX European Warrants Dec 2020 C            | 50,000,000   | 2020/06/30 | 2020/12/28 11.00  |
| 15332    | Bank Vontobel - HKEX European Warrants May 2021 A            | 40,000,000   | 2020/06/30 | 2021/05/24 10.00  |
| 24005#   | J P Morgan SP BV - HSI European Put Warrants Oct 2020 A      | 400,000,000  | 2020/06/30 | 2020/10/29 39.60  |
| 總額       |                                                              |              |            | 47,609.34         |

# 進一步發行

# 主 板 認 股 權 證

## 新上市界內證

2020年第2季

| 股份<br>代號 | 界內證                                                          | 上市時之<br>發行單位 | 上市日期       | 到期日 (百萬港元) | 集資金額  |
|----------|--------------------------------------------------------------|--------------|------------|------------|-------|
| 48181    | BNP Paribas Issuance B.V. - HSI Euro Inline Wts Oct 2020 A   | 20,000,000   | 2020/04/01 | 2020/10/29 | 12.20 |
| 48182    | BNP Paribas Issuance B.V. - HSI Euro Inline Wts Oct 2020 B   | 20,000,000   | 2020/04/01 | 2020/10/29 | 11.60 |
| 48183    | BNP Paribas Issuance B.V. - Tencent Euro Inline Wts Oct 20 A | 20,000,000   | 2020/04/01 | 2020/10/06 | 12.60 |
| 48184    | BNP Paribas Issuance B.V. - Tencent Euro Inline Wts Oct 20 B | 25,000,000   | 2020/04/01 | 2020/10/06 | 10.50 |
| 48185    | J P Morgan SP BV - HSI Euro Inline Warrants Oct 2020 E       | 25,000,000   | 2020/04/01 | 2020/10/29 | 10.00 |
| 48186    | J P Morgan SP BV - HSI Euro Inline Warrants Oct 2020 F       | 25,800,000   | 2020/04/01 | 2020/10/29 | 10.06 |
| 48187    | J P Morgan SP BV - HSI Euro Inline Warrants Oct 2020 G       | 25,000,000   | 2020/04/01 | 2020/10/29 | 10.93 |
| 48188    | J P Morgan SP BV - HSI Euro Inline Warrants Oct 2020 H       | 30,800,000   | 2020/04/01 | 2020/10/29 | 10.16 |
| 48195    | SG Issuer - AIA Euro Inline Warrants Jun 2020 C              | 20,000,000   | 2020/04/01 | 2020/06/30 | 15.80 |
| 48196    | SG Issuer - AIA Euro Inline Warrants Jun 2020 D              | 20,000,000   | 2020/04/01 | 2020/06/30 | 11.60 |
| 48197    | SG Issuer - AIA Euro Inline Warrants Jul 2020 B              | 20,000,000   | 2020/04/01 | 2020/07/31 | 11.20 |
| 48198    | SG Issuer - Ping An Euro Inline Warrants Jun 2020 C          | 20,000,000   | 2020/04/01 | 2020/06/30 | 16.20 |
| 48199    | SG Issuer - Ping An Euro Inline Warrants Jun 2020 D          | 20,000,000   | 2020/04/01 | 2020/06/30 | 13.60 |
| 48200    | SG Issuer - Tencent Euro Inline Warrants Jun 2020 B          | 30,000,000   | 2020/04/01 | 2020/06/30 | 10.80 |
| 48201    | SG Issuer - Tencent Euro Inline Warrants Jun 2020 C          | 20,000,000   | 2020/04/01 | 2020/06/30 | 11.20 |
| 48202    | SG Issuer - Tencent Euro Inline Warrants Jun 2020 D          | 20,000,000   | 2020/04/01 | 2020/06/30 | 14.00 |
| 48193    | Bank Vontobel - CCB Euro Inline Warrants Mar 2021 A          | 25,000,000   | 2020/04/01 | 2021/03/31 | 10.40 |
| 48194    | Bank Vontobel - CCB Euro Inline Warrants Jun 2021 B          | 27,000,000   | 2020/04/01 | 2021/06/30 | 10.23 |
| 48189    | Bank Vontobel - HSI Euro Inline Warrants Oct 2020 E          | 18,000,000   | 2020/04/01 | 2020/10/29 | 10.22 |
| 48190    | Bank Vontobel - HSI Euro Inline Warrants Oct 2020 F          | 33,000,000   | 2020/04/01 | 2020/10/29 | 10.13 |
| 48191    | Bank Vontobel - HSI Euro Inline Warrants Nov 2020 E          | 26,000,000   | 2020/04/01 | 2020/11/27 | 10.17 |
| 48192    | Bank Vontobel - HSI Euro Inline Warrants Jan 2021 E          | 27,000,000   | 2020/04/01 | 2021/01/28 | 10.23 |
| 48207    | J P Morgan SP BV - AIA Euro Inline Warrants Oct 2020 A       | 20,000,000   | 2020/04/02 | 2020/10/30 | 10.60 |
| 48208    | J P Morgan SP BV - AIA Euro Inline Warrants Oct 2020 B       | 20,000,000   | 2020/04/02 | 2020/10/30 | 10.06 |
| 48216    | J P Morgan SP BV - AIA Euro Inline Warrants Oct 2020 C       | 30,000,000   | 2020/04/02 | 2020/10/30 | 10.41 |
| 48205    | J P Morgan SP BV - CCB Euro Inline Warrants Oct 2020 A       | 20,000,000   | 2020/04/02 | 2020/10/30 | 10.18 |
| 48206    | J P Morgan SP BV - CCB Euro Inline Warrants Oct 2020 B       | 20,000,000   | 2020/04/02 | 2020/10/30 | 11.14 |
| 48217    | J P Morgan SP BV - HSI Euro Inline Warrants Oct 2020 I       | 25,000,000   | 2020/04/02 | 2020/10/29 | 10.23 |
| 48218    | J P Morgan SP BV - HSI Euro Inline Warrants Oct 2020 J       | 28,800,000   | 2020/04/02 | 2020/10/29 | 10.08 |
| 48203    | J P Morgan SP BV - Meituan Euro Inline Warrants Oct 2020 A   | 25,000,000   | 2020/04/02 | 2020/10/30 | 10.23 |
| 48204    | J P Morgan SP BV - Meituan Euro Inline Warrants Oct 2020 B   | 25,000,000   | 2020/04/02 | 2020/10/30 | 10.95 |
| 48215    | J P Morgan SP BV - Meituan Euro Inline Warrants Oct 2020 C   | 20,000,000   | 2020/04/02 | 2020/10/30 | 10.02 |
| 48209    | J P Morgan SP BV - Ping An Euro Inline Warrants Oct 2020 A   | 20,000,000   | 2020/04/02 | 2020/10/30 | 10.20 |
| 48210    | J P Morgan SP BV - Ping An Euro Inline Warrants Oct 2020 B   | 20,000,000   | 2020/04/02 | 2020/10/30 | 10.52 |
| 48211    | J P Morgan SP BV - Ping An Euro Inline Warrants Oct 2020 C   | 30,000,000   | 2020/04/02 | 2020/10/30 | 10.92 |
| 48212    | J P Morgan SP BV - Tencent Euro Inline Warrants Oct 2020 A   | 25,000,000   | 2020/04/02 | 2020/10/30 | 10.35 |
| 48213    | J P Morgan SP BV - Tencent Euro Inline Warrants Oct 2020 B   | 25,000,000   | 2020/04/02 | 2020/10/30 | 11.58 |
| 48214    | J P Morgan SP BV - Tencent Euro Inline Warrants Oct 2020 C   | 20,000,000   | 2020/04/02 | 2020/10/30 | 10.74 |
| 48221    | Bank Vontobel - Meituan Euro Inline Warrants Feb 2021 A      | 28,000,000   | 2020/04/02 | 2021/02/26 | 10.16 |
| 48222    | Bank Vontobel - Meituan Euro Inline Warrants Feb 2021 B      | 28,000,000   | 2020/04/02 | 2021/02/26 | 10.08 |
| 48219    | Bank Vontobel - Meituan Euro Inline Warrants Jun 2021 A      | 32,000,000   | 2020/04/02 | 2021/06/30 | 10.21 |
| 48220    | Bank Vontobel - Meituan Euro Inline Warrants Jun 2021 B      | 32,000,000   | 2020/04/02 | 2021/06/30 | 10.27 |

# 主 板 認 股 權 證

| 股份<br>代號 | 界內證                                                          | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|--------------------------------------------------------------|--------------|------------|-------------------|
| 48225    | Bank Vontobel - AIA Euro Inline Warrants Jul 2020 A          | 23,000,000   | 2020/04/06 | 2020/07/31 10.28  |
| 48226    | Bank Vontobel - AIA Euro Inline Warrants Jul 2020 B          | 29,000,000   | 2020/04/06 | 2020/07/31 10.32  |
| 48223    | Bank Vontobel - HSI Euro Inline Warrants Jul 2020 B          | 26,000,000   | 2020/04/06 | 2020/07/30 10.32  |
| 48230    | Bank Vontobel - HSI Euro Inline Warrants Jul 2020 C          | 20,000,000   | 2020/04/06 | 2020/07/30 10.36  |
| 48229    | Bank Vontobel - HSI Euro Inline Warrants Aug 2020 D          | 21,000,000   | 2020/04/06 | 2020/08/28 10.06  |
| 48224    | Bank Vontobel - HSI Euro Inline Warrants Sep 2020 N          | 31,000,000   | 2020/04/06 | 2020/09/29 10.14  |
| 48227    | Bank Vontobel - Ping An Euro Inline Warrants Jul 2020 A      | 30,000,000   | 2020/04/06 | 2020/07/31 10.02  |
| 48228    | Bank Vontobel - Ping An Euro Inline Warrants Aug 2020 C      | 20,000,000   | 2020/04/06 | 2020/08/31 10.32  |
| 48231    | Bank Vontobel - HSI Euro Inline Warrants Jul 2020 D          | 22,000,000   | 2020/04/07 | 2020/07/30 10.25  |
| 48232    | Bank Vontobel - HSI Euro Inline Warrants Jul 2020 E          | 35,000,000   | 2020/04/07 | 2020/07/30 10.19  |
| 48238    | HK Bank - AIA Euro Inline Warrants Nov 2020 B                | 17,000,000   | 2020/04/15 | 2020/11/30 10.54  |
| 48237    | HK Bank - AIA Euro Inline Warrants Dec 2020 C                | 23,000,000   | 2020/04/15 | 2020/12/31 10.35  |
| 48236    | HK Bank - CCB Euro Inline Warrants Nov 2020 B                | 16,000,000   | 2020/04/15 | 2020/11/30 10.56  |
| 48235    | HK Bank - Meituan Euro Inline Warrants Oct 2020 B            | 16,000,000   | 2020/04/15 | 2020/10/30 10.56  |
| 48233    | HK Bank - Meituan Euro Inline Warrants Nov 2020 B            | 17,000,000   | 2020/04/15 | 2020/11/30 10.20  |
| 48234    | HK Bank - Meituan Euro Inline Warrants Dec 2020 C            | 19,000,000   | 2020/04/15 | 2020/12/31 10.26  |
| 48240    | HK Bank - Ping An Euro Inline Warrants Nov 2020 B            | 14,000,000   | 2020/04/15 | 2020/11/30 10.22  |
| 48239    | HK Bank - Ping An Euro Inline Warrants Dec 2020 D            | 19,000,000   | 2020/04/15 | 2020/12/31 10.07  |
| 48242    | HK Bank - Tencent Euro Inline Warrants Nov 2020 B            | 18,000,000   | 2020/04/15 | 2020/11/30 10.26  |
| 48241    | HK Bank - Tencent Euro Inline Warrants Dec 2020 C            | 24,000,000   | 2020/04/15 | 2020/12/31 10.08  |
| 48243    | SG Issuer - AIA Euro Inline Warrants Jul 2020 C              | 30,000,000   | 2020/04/21 | 2020/07/31 10.20  |
| 48244    | SG Issuer - AIA Euro Inline Warrants Jul 2020 D              | 20,000,000   | 2020/04/21 | 2020/07/31 11.60  |
| 48252    | SG Issuer - AIA Euro Inline Warrants Jul 2020 E              | 35,000,000   | 2020/04/21 | 2020/07/27 11.20  |
| 48245    | SG Issuer - CCB Euro Inline Warrants Jul 2020 B              | 20,000,000   | 2020/04/21 | 2020/07/31 11.20  |
| 48246    | SG Issuer - CCB Euro Inline Warrants Aug 2020 A              | 20,000,000   | 2020/04/21 | 2020/08/31 14.40  |
| 48247    | SG Issuer - Ping An Euro Inline Warrants Jul 2020 E          | 35,000,000   | 2020/04/21 | 2020/07/31 11.55  |
| 48248    | SG Issuer - Ping An Euro Inline Warrants Jul 2020 F          | 40,000,000   | 2020/04/21 | 2020/07/31 11.60  |
| 48249    | SG Issuer - Ping An Euro Inline Warrants Aug 2020 D          | 20,000,000   | 2020/04/21 | 2020/08/03 11.00  |
| 48250    | SG Issuer - Ping An Euro Inline Warrants Aug 2020 E          | 20,000,000   | 2020/04/21 | 2020/08/31 11.80  |
| 48251    | SG Issuer - Tencent Euro Inline Warrants Jul 2020 D          | 20,000,000   | 2020/04/21 | 2020/07/31 13.40  |
| 48253    | SG Issuer - Tencent Euro Inline Warrants Aug 2020 A          | 30,000,000   | 2020/04/21 | 2020/08/31 11.70  |
| 48254    | SG Issuer - Tencent Euro Inline Warrants Aug 2020 B          | 25,000,000   | 2020/04/21 | 2020/08/31 12.25  |
| 48255    | SG Issuer - Tencent Euro Inline Warrants Aug 2020 C          | 20,000,000   | 2020/04/21 | 2020/08/31 12.80  |
| 48256    | SG Issuer - Tencent Euro Inline Warrants Sep 2020 I          | 20,000,000   | 2020/04/21 | 2020/09/30 10.60  |
| 48257    | SG Issuer - HSI Euro Inline Warrants Jul 2020 J              | 20,000,000   | 2020/04/22 | 2020/07/30 11.00  |
| 48258    | SG Issuer - HSI Euro Inline Warrants Jul 2020 K              | 25,000,000   | 2020/04/22 | 2020/07/30 10.75  |
| 48259    | SG Issuer - HSI Euro Inline Warrants Aug 2020 I              | 20,000,000   | 2020/04/22 | 2020/08/28 10.00  |
| 48260    | SG Issuer - HSI Euro Inline Warrants Aug 2020 J              | 20,000,000   | 2020/04/22 | 2020/08/28 14.60  |
| 48261    | SG Issuer - HSI Euro Inline Warrants Sep 2020 K              | 40,000,000   | 2020/04/22 | 2020/09/29 10.80  |
| 48262    | SG Issuer - HSI Euro Inline Warrants Sep 2020 L              | 25,000,000   | 2020/04/22 | 2020/09/29 12.00  |
| 48273    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Nov20 A | 20,000,000   | 2020/04/28 | 2020/11/27 12.80  |
| 48274    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Nov20 B | 20,000,000   | 2020/04/28 | 2020/11/27 11.40  |
| 48275    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Nov20 C | 25,000,000   | 2020/04/28 | 2020/11/27 12.00  |
| 48265    | HK Bank - HSI Euro Inline Warrants Dec 2020 G                | 29,000,000   | 2020/04/28 | 2020/12/30 10.15  |

# 主 板 認 股 權 證

| 股份<br>代號 | 界內證                                                          | 上市時之       |            | 集資金額       |       |
|----------|--------------------------------------------------------------|------------|------------|------------|-------|
|          |                                                              | 發行單位       | 上市日期       | 到期日(百萬港元)  |       |
| 48266    | HK Bank - HSI Euro Inline Warrants Jan 2021 E                | 19,000,000 | 2020/04/28 | 2021/01/28 | 10.26 |
| 48267    | HK Bank - HSI Euro Inline Warrants Feb 2021 E                | 31,000,000 | 2020/04/28 | 2021/02/25 | 10.23 |
| 48268    | HK Bank - HSI Euro Inline Warrants Mar 2021 F                | 20,000,000 | 2020/04/28 | 2021/03/30 | 10.40 |
| 48272    | HK Bank - HSI Euro Inline Warrants Jun 2021 F                | 21,000,000 | 2020/04/28 | 2021/06/29 | 10.08 |
| 48271    | HK Bank - HSI Euro Inline Warrants Aug 2021 B                | 23,000,000 | 2020/04/28 | 2021/08/30 | 10.12 |
| 48269    | HK Bank - HSI Euro Inline Warrants Sep 2021 D                | 26,000,000 | 2020/04/28 | 2021/09/29 | 10.14 |
| 48270    | HK Bank - HSI Euro Inline Warrants Oct 2021 B                | 21,000,000 | 2020/04/28 | 2021/10/28 | 10.08 |
| 48264    | HK Bank - HSI Euro Inline Warrants Nov 2021 B                | 24,000,000 | 2020/04/28 | 2021/11/29 | 10.32 |
| 48263    | HK Bank - HSI Euro Inline Warrants Dec 2021 D                | 22,000,000 | 2020/04/28 | 2021/12/30 | 10.12 |
| 48276    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Dec20 A | 20,000,000 | 2020/04/29 | 2020/12/30 | 12.40 |
| 48277    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Dec20 B | 20,000,000 | 2020/04/29 | 2020/12/30 | 11.00 |
| 48278    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Dec20 C | 25,000,000 | 2020/04/29 | 2020/12/30 | 11.75 |
| 48282    | HK Bank - AIA Euro Inline Warrants Jan 2021 A                | 17,000,000 | 2020/05/05 | 2021/01/29 | 10.37 |
| 48283    | HK Bank - AIA Euro Inline Warrants Feb 2021 A                | 17,000,000 | 2020/05/05 | 2021/02/26 | 10.03 |
| 48284    | HK Bank - CCB Euro Inline Warrants Feb 2021 A                | 20,000,000 | 2020/05/05 | 2021/02/26 | 10.00 |
| 48279    | HK Bank - Meituan Euro Inline Warrants Jan 2021 A            | 17,000,000 | 2020/05/05 | 2021/01/29 | 10.20 |
| 48280    | HK Bank - Meituan Euro Inline Warrants Feb 2021 A            | 21,000,000 | 2020/05/05 | 2021/02/26 | 10.08 |
| 48287    | HK Bank - Ping An Euro Inline Warrants Jan 2021 A            | 16,000,000 | 2020/05/05 | 2021/01/29 | 10.56 |
| 48281    | HK Bank - Ping An Euro Inline Warrants Feb 2021 A            | 22,000,000 | 2020/05/05 | 2021/02/26 | 10.12 |
| 48285    | HK Bank - Tencent Euro Inline Warrants Jan 2021 A            | 22,000,000 | 2020/05/05 | 2021/01/29 | 10.34 |
| 48286    | HK Bank - Tencent Euro Inline Warrants Feb 2021 A            | 18,000,000 | 2020/05/05 | 2021/02/26 | 10.44 |
| 48288    | HK Bank - Tencent Euro Inline Warrants Apr 2021 A            | 20,000,000 | 2020/05/05 | 2021/04/30 | 10.40 |
| 48289    | SG Issuer - AIA Euro Inline Warrants Oct 2020 A              | 20,000,000 | 2020/05/06 | 2020/10/30 | 11.60 |
| 48290    | SG Issuer - AIA Euro Inline Warrants Dec 2020 D              | 25,000,000 | 2020/05/06 | 2020/12/31 | 12.25 |
| 48291    | SG Issuer - AIA Euro Inline Warrants Mar 2021 A              | 25,000,000 | 2020/05/06 | 2021/03/31 | 12.25 |
| 48292    | SG Issuer - AIA Euro Inline Warrants Jun 2021 A              | 25,000,000 | 2020/05/06 | 2021/06/30 | 10.75 |
| 48293    | SG Issuer - AIA Euro Inline Warrants Sep 2021 A              | 25,000,000 | 2020/05/06 | 2021/09/30 | 10.25 |
| 48298    | Bank Vontobel - CCB Euro Inline Warrants Aug 2020 B          | 15,000,000 | 2020/05/06 | 2020/08/31 | 10.26 |
| 48294    | Bank Vontobel - HSI Euro Inline Warrants Mar 2021 A          | 23,000,000 | 2020/05/06 | 2021/03/30 | 10.44 |
| 48295    | Bank Vontobel - HSI Euro Inline Warrants Mar 2021 B          | 29,000,000 | 2020/05/06 | 2021/03/30 | 10.32 |
| 48296    | Bank Vontobel - HSI Euro Inline Warrants Mar 2021 C          | 35,000,000 | 2020/05/06 | 2021/03/30 | 10.19 |
| 48297    | Bank Vontobel - HSI Euro Inline Warrants Mar 2021 D          | 18,000,000 | 2020/05/06 | 2021/03/30 | 10.22 |
| 48299    | Bank Vontobel - Tencent Euro Inline Warrants Aug 2020 A      | 19,000,000 | 2020/05/06 | 2020/08/31 | 10.13 |
| 48300    | Bank Vontobel - Tencent Euro Inline Warrants Aug 2020 B      | 32,000,000 | 2020/05/06 | 2020/08/31 | 10.08 |
| 48301    | Bank Vontobel - Tencent Euro Inline Warrants Aug 2020 C      | 16,000,000 | 2020/05/06 | 2020/08/31 | 10.66 |
| 48302    | J P Morgan SP BV - AIA Euro Inline Warrants Nov 2020 A       | 26,000,000 | 2020/05/07 | 2020/11/30 | 11.36 |
| 48303    | J P Morgan SP BV - AIA Euro Inline Warrants Nov 2020 B       | 30,000,000 | 2020/05/07 | 2020/11/30 | 10.68 |
| 48304    | J P Morgan SP BV - AIA Euro Inline Warrants Dec 2020 A       | 20,000,000 | 2020/05/07 | 2020/12/31 | 12.06 |
| 48305    | J P Morgan SP BV - AIA Euro Inline Warrants Dec 2020 B       | 20,000,000 | 2020/05/07 | 2020/12/31 | 12.02 |
| 48306    | J P Morgan SP BV - AIA Euro Inline Warrants Jan 2021 A       | 20,000,000 | 2020/05/07 | 2021/01/29 | 10.46 |
| 48307    | J P Morgan SP BV - AIA Euro Inline Warrants Jan 2021 B       | 21,000,000 | 2020/05/07 | 2021/01/29 | 10.46 |
| 48308    | J P Morgan SP BV - CCB Euro Inline Warrants Nov 2020 A       | 28,000,000 | 2020/05/07 | 2020/11/30 | 10.78 |
| 48309    | J P Morgan SP BV - CCB Euro Inline Warrants Nov 2020 B       | 30,000,000 | 2020/05/07 | 2020/11/30 | 10.20 |
| 48316    | J P Morgan SP BV - HSI Euro Inline Warrants Aug 2020 G       | 25,000,000 | 2020/05/07 | 2020/08/28 | 10.00 |



# 主 板 認 股 權 證

| 股份<br>代號 | 界內證                                                          | 上市時之       |            | 集資金額       |       |
|----------|--------------------------------------------------------------|------------|------------|------------|-------|
|          |                                                              | 發行單位       | 上市日期       | 到期日(百萬港元)  |       |
| 48317    | J P Morgan SP BV - HSI Euro Inline Warrants Nov 2020 D       | 25,000,000 | 2020/05/07 | 2020/11/27 | 10.05 |
| 48318    | J P Morgan SP BV - HSI Euro Inline Warrants Nov 2020 E       | 25,000,000 | 2020/05/07 | 2020/11/27 | 10.58 |
| 48319    | J P Morgan SP BV - HSI Euro Inline Warrants Nov 2020 F       | 25,000,000 | 2020/05/07 | 2020/11/27 | 10.15 |
| 48320    | J P Morgan SP BV - HSI Euro Inline Warrants Nov 2020 G       | 25,000,000 | 2020/05/07 | 2020/11/27 | 10.00 |
| 48321    | J P Morgan SP BV - HSI Euro Inline Warrants Nov 2020 H       | 33,000,000 | 2020/05/07 | 2020/11/27 | 10.03 |
| 48310    | J P Morgan SP BV - Meituan Euro Inline Warrants Dec 2020 A   | 30,000,000 | 2020/05/07 | 2020/12/31 | 10.14 |
| 48311    | J P Morgan SP BV - Meituan Euro Inline Warrants Dec 2020 B   | 28,000,000 | 2020/05/07 | 2020/12/31 | 10.25 |
| 48312    | J P Morgan SP BV - Ping AnEuro Inline Warrants Nov 2020 A    | 21,000,000 | 2020/05/07 | 2020/11/30 | 10.48 |
| 48313    | J P Morgan SP BV - Ping AnEuro Inline Warrants Nov 2020 B    | 30,000,000 | 2020/05/07 | 2020/11/30 | 10.20 |
| 48314    | J P Morgan SP BV - Tencent Euro Inline Warrants Nov 2020 A   | 25,000,000 | 2020/05/07 | 2020/11/30 | 11.73 |
| 48315    | J P Morgan SP BV - Tencent Euro Inline Warrants Nov 2020 B   | 20,000,000 | 2020/05/07 | 2020/11/30 | 10.00 |
| 48323    | Bank Vontobel - HSI Euro Inline Warrants Aug 2020 E          | 25,000,000 | 2020/05/07 | 2020/08/28 | 10.30 |
| 48324    | Bank Vontobel - HSI Euro Inline Warrants Aug 2020 F          | 23,000,000 | 2020/05/07 | 2020/08/28 | 10.07 |
| 48325    | Bank Vontobel - HSI Euro Inline Warrants Aug 2020 G          | 35,000,000 | 2020/05/07 | 2020/08/28 | 10.19 |
| 48322    | Bank Vontobel - HSI Euro Inline Warrants Mar 2021 E          | 19,000,000 | 2020/05/07 | 2021/03/30 | 10.47 |
| 48328    | Bank Vontobel - Meituan Euro Inline Warrants Aug 2020 A      | 29,000,000 | 2020/05/07 | 2020/08/31 | 10.27 |
| 48329    | Bank Vontobel - Meituan Euro Inline Warrants Aug 2020 B      | 31,000,000 | 2020/05/07 | 2020/08/31 | 10.08 |
| 48326    | Bank Vontobel - Ping AnEuro Inline Warrants Sep 2020 B       | 24,000,000 | 2020/05/07 | 2020/09/30 | 10.37 |
| 48327    | Bank Vontobel - Ping AnEuro Inline Warrants Oct 2020 C       | 30,000,000 | 2020/05/07 | 2020/10/30 | 10.26 |
| 48332    | Bank Vontobel - AIA Euro Inline Warrants Aug 2020 A          | 18,000,000 | 2020/05/08 | 2020/08/31 | 10.46 |
| 48333    | Bank Vontobel - AIA Euro Inline Warrants Sep 2020 C          | 26,000,000 | 2020/05/08 | 2020/09/30 | 10.17 |
| 48330    | Bank Vontobel - HSI Euro Inline Warrants Oct 2020 G          | 20,000,000 | 2020/05/08 | 2020/10/29 | 10.14 |
| 48331    | Bank Vontobel - HSI Euro Inline Warrants Oct 2020 H          | 20,000,000 | 2020/05/08 | 2020/10/29 | 10.40 |
| 48334    | J P Morgan SP BV - Alibaba Euro Inline Warrants Nov 2020 A   | 20,000,000 | 2020/05/11 | 2020/11/30 | 11.98 |
| 48335    | J P Morgan SP BV - Alibaba Euro Inline Warrants Nov 2020 B   | 25,000,000 | 2020/05/11 | 2020/11/30 | 10.78 |
| 48336    | J P Morgan SP BV - Alibaba Euro Inline Warrants Nov 2020 C   | 20,000,000 | 2020/05/11 | 2020/11/30 | 13.78 |
| 48337    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Jan21 A | 20,000,000 | 2020/05/15 | 2021/01/28 | 12.20 |
| 48338    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Jan21 B | 20,000,000 | 2020/05/15 | 2021/01/28 | 11.20 |
| 48339    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Jan21 C | 25,000,000 | 2020/05/15 | 2021/01/28 | 12.00 |
| 48340    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Feb21 A | 20,000,000 | 2020/05/15 | 2021/02/25 | 11.80 |
| 48341    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Feb21 B | 20,000,000 | 2020/05/15 | 2021/02/25 | 10.80 |
| 48342    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Feb21 C | 25,000,000 | 2020/05/15 | 2021/02/25 | 11.75 |
| 48343    | HK Bank - Alibaba Euro Inline Warrants Nov 2020 A            | 20,000,000 | 2020/05/21 | 2020/11/30 | 10.40 |
| 48344    | HK Bank - Alibaba Euro Inline Warrants Nov 2020 B            | 19,000,000 | 2020/05/21 | 2020/11/30 | 10.07 |
| 48345    | HK Bank - Alibaba Euro Inline Warrants Dec 2020 A            | 25,000,000 | 2020/05/21 | 2020/12/31 | 10.00 |
| 48347    | HK Bank - Alibaba Euro Inline Warrants Dec 2020 B            | 18,000,000 | 2020/05/21 | 2020/12/31 | 10.26 |
| 48348    | HK Bank - Alibaba Euro Inline Warrants Dec 2020 C            | 25,000,000 | 2020/05/21 | 2020/12/31 | 10.25 |
| 48349    | HK Bank - Alibaba Euro Inline Warrants Jan 2021 A            | 22,000,000 | 2020/05/21 | 2021/01/29 | 10.34 |
| 48350    | HK Bank - Alibaba Euro Inline Warrants Jan 2021 B            | 30,000,000 | 2020/05/21 | 2021/01/29 | 10.20 |
| 48346    | HK Bank - Alibaba Euro Inline Warrants Feb 2021 A            | 20,000,000 | 2020/05/21 | 2021/02/26 | 10.40 |
| 48351    | HK Bank - Alibaba Euro Inline Warrants Feb 2021 B            | 19,000,000 | 2020/05/21 | 2021/02/26 | 10.07 |
| 48352    | HK Bank - Alibaba Euro Inline Warrants Mar 2021 A            | 33,000,000 | 2020/05/21 | 2021/03/31 | 10.23 |
| 48353    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Mar21A  | 20,000,000 | 2020/05/27 | 2021/03/30 | 12.80 |
| 48354    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Mar21B  | 20,000,000 | 2020/05/27 | 2021/03/30 | 11.80 |

# 主 板 認 股 權 證

| 股份<br>代號 | 界內證                                                         | 上市時之       |            | 集資金額       |       |
|----------|-------------------------------------------------------------|------------|------------|------------|-------|
|          |                                                             | 發行單位       | 上市日期       | 到期日(百萬港元)  |       |
| 48355    | BNP Paribas Issuance B.V. - HSI Euro Inline Warrants Mar21C | 20,000,000 | 2020/05/27 | 2021/03/30 | 10.00 |
| 48356    | SG Issuer - HSI Euro Inline Warrants Sep 2020 M             | 25,000,000 | 2020/05/28 | 2020/09/29 | 11.25 |
| 48357    | SG Issuer - HSI Euro Inline Warrants Sep 2020 N             | 30,000,000 | 2020/05/28 | 2020/09/29 | 11.70 |
| 48358    | SG Issuer - HSI Euro Inline Warrants Sep 2020 O             | 20,000,000 | 2020/05/28 | 2020/09/29 | 14.00 |
| 48359    | SG Issuer - HSI Euro Inline Warrants Sep 2020 P             | 25,000,000 | 2020/05/28 | 2020/09/29 | 11.50 |
| 48360    | SG Issuer - HSI Euro Inline Warrants Sep 2020 Q             | 30,000,000 | 2020/05/28 | 2020/09/29 | 10.20 |
| 48361    | SG Issuer - CCB Euro Inline Warrants Aug 2020 B             | 35,000,000 | 2020/05/29 | 2020/08/31 | 10.50 |
| 48362    | SG Issuer - CCB Euro Inline Warrants Sep 2020 F             | 20,000,000 | 2020/05/29 | 2020/09/30 | 11.80 |
| 48363    | SG Issuer - CCB Euro Inline Warrants Nov 2020 A             | 25,000,000 | 2020/05/29 | 2020/11/30 | 11.00 |
| 48364    | SG Issuer - Ping An Euro Inline Warrants Aug 2020 F         | 20,000,000 | 2020/05/29 | 2020/08/31 | 11.20 |
| 48365    | SG Issuer - Ping An Euro Inline Warrants Sep 2020 D         | 20,000,000 | 2020/05/29 | 2020/09/30 | 15.80 |
| 48366    | Bank Vontobel - Alibaba Euro Inline Warrants Nov 2020 A     | 27,000,000 | 2020/06/01 | 2020/11/30 | 10.13 |
| 48367    | Bank Vontobel - Alibaba Euro Inline Warrants Nov 2020 B     | 24,000,000 | 2020/06/01 | 2020/11/30 | 10.13 |
| 48368    | Bank Vontobel - Alibaba Euro Inline Warrants Dec 2020 A     | 30,000,000 | 2020/06/01 | 2020/12/31 | 10.02 |
| 48369    | Bank Vontobel - Alibaba Euro Inline Warrants Dec 2020 B     | 25,000,000 | 2020/06/01 | 2020/12/31 | 10.28 |
| 48370    | Bank Vontobel - Alibaba Euro Inline Warrants Dec 2020 C     | 30,000,000 | 2020/06/01 | 2020/12/31 | 10.14 |
| 48371    | Bank Vontobel - Alibaba Euro Inline Warrants Jan 2021 A     | 29,000,000 | 2020/06/01 | 2021/01/29 | 10.12 |
| 48372    | Bank Vontobel - Alibaba Euro Inline Warrants Jan 2021 B     | 35,000,000 | 2020/06/01 | 2021/01/29 | 10.08 |
| 48373    | Bank Vontobel - Alibaba Euro Inline Warrants Feb 2021 A     | 32,000,000 | 2020/06/01 | 2021/02/26 | 10.24 |
| 48374    | Bank Vontobel - Alibaba Euro Inline Warrants Feb 2021 B     | 25,000,000 | 2020/06/01 | 2021/02/26 | 10.28 |
| 48375    | Bank Vontobel - Alibaba Euro Inline Warrants Mar 2021 A     | 38,000,000 | 2020/06/01 | 2021/03/31 | 10.22 |
| 48377    | Bank Vontobel - Meituan Euro Inline Warrants Dec 2020 C     | 32,000,000 | 2020/06/01 | 2020/12/31 | 10.21 |
| 48378    | Bank Vontobel - Meituan Euro Inline Warrants Dec 2020 D     | 28,000,000 | 2020/06/01 | 2020/12/31 | 10.11 |
| 48376    | Bank Vontobel - Tencent Euro Inline Warrants Nov 2020 C     | 34,000,000 | 2020/06/01 | 2020/11/30 | 10.30 |
| 48379    | Bank Vontobel - Tencent Euro Inline Warrants Nov 2020 D     | 26,000,000 | 2020/06/01 | 2020/11/30 | 10.35 |
| 48395    | HK Bank - Alibaba Euro Inline Warrants Dec 2020 D           | 33,000,000 | 2020/06/02 | 2020/12/31 | 10.23 |
| 48396    | HK Bank - Alibaba Euro Inline Warrants Mar 2021 B           | 23,000,000 | 2020/06/02 | 2021/03/31 | 10.35 |
| 48393    | HK Bank - Alibaba Euro Inline Warrants Apr 2021 A           | 20,000,000 | 2020/06/02 | 2021/04/30 | 10.00 |
| 48394    | HK Bank - Alibaba Euro Inline Warrants Jun 2021 A           | 26,000,000 | 2020/06/02 | 2021/06/30 | 10.14 |
| 48391    | HK Bank - Alibaba Euro Inline Warrants Sep 2021 A           | 22,000,000 | 2020/06/02 | 2021/09/30 | 10.34 |
| 48392    | HK Bank - Alibaba Euro Inline Warrants Dec 2021 A           | 33,000,000 | 2020/06/02 | 2021/12/31 | 10.23 |
| 48389    | HK Bank - Meituan Euro Inline Warrants Mar 2021 B           | 27,000,000 | 2020/06/02 | 2021/03/31 | 10.26 |
| 48390    | HK Bank - Meituan Euro Inline Warrants Sep 2021 A           | 30,000,000 | 2020/06/02 | 2021/09/30 | 10.20 |
| 48397    | HK Bank - Meituan Euro Inline Warrants Dec 2021 A           | 26,000,000 | 2020/06/02 | 2021/12/31 | 10.14 |
| 48388    | HK Bank - Tencent Euro Inline Warrants Mar 2021 B           | 31,000,000 | 2020/06/02 | 2021/03/31 | 10.23 |
| 48380    | SG Issuer - Alibaba Euro Inline Warrants Dec 2020 A         | 30,000,000 | 2020/06/02 | 2020/12/01 | 11.70 |
| 48381    | SG Issuer - Alibaba Euro Inline Warrants Dec 2020 B         | 25,000,000 | 2020/06/02 | 2020/12/01 | 11.75 |
| 48382    | SG Issuer - Alibaba Euro Inline Warrants Dec 2020 C         | 20,000,000 | 2020/06/02 | 2020/12/01 | 10.40 |
| 48383    | SG Issuer - Alibaba Euro Inline Warrants Dec 2020 D         | 25,000,000 | 2020/06/02 | 2020/12/01 | 12.25 |
| 48384    | SG Issuer - Alibaba Euro Inline Warrants Dec 2020 E         | 25,000,000 | 2020/06/02 | 2020/12/01 | 11.00 |
| 48387    | SG Issuer - Alibaba Euro Inline Warrants Dec 2020 F         | 35,000,000 | 2020/06/02 | 2020/12/31 | 11.55 |
| 48385    | SG Issuer - Alibaba Euro Inline Warrants Jan 2021 A         | 30,000,000 | 2020/06/02 | 2021/01/29 | 10.80 |
| 48386    | SG Issuer - Tencent Euro Inline Warrants Dec 2020 C         | 35,000,000 | 2020/06/02 | 2020/12/01 | 11.55 |
| 48402    | Bank Vontobel - HSI Euro Inline Warrants Jan 2021 F         | 18,000,000 | 2020/06/02 | 2021/01/28 | 10.22 |

# 主 板 認 股 權 證

| 股份<br>代號 | 界內證                                                        | 上市時之<br>發行單位 | 上市日期       | 集資金額<br>到期日(百萬港元) |
|----------|------------------------------------------------------------|--------------|------------|-------------------|
| 48398    | Bank Vontobel - HSI Euro Inline Warrants Feb 2021 A        | 22,000,000   | 2020/06/02 | 2021/02/25 10.01  |
| 48399    | Bank Vontobel - HSI Euro Inline Warrants Feb 2021 B        | 17,000,000   | 2020/06/02 | 2021/02/25 10.56  |
| 48400    | Bank Vontobel - HSI Euro Inline Warrants Feb 2021 C        | 20,000,000   | 2020/06/02 | 2021/02/25 10.30  |
| 48401    | Bank Vontobel - HSI Euro Inline Warrants Feb 2021 D        | 30,000,000   | 2020/06/02 | 2021/02/25 10.23  |
| 48403    | Bank Vontobel - HSI Euro Inline Warrants Feb 2021 E        | 18,000,000   | 2020/06/02 | 2021/02/25 10.42  |
| 48404    | SG Issuer - Tencent Euro Inline Warrants Dec 2020 D        | 25,000,000   | 2020/06/03 | 2020/12/02 12.50  |
| 48405    | SG Issuer - Tencent Euro Inline Warrants Dec 2020 E        | 25,000,000   | 2020/06/03 | 2020/12/02 10.50  |
| 48406    | J P Morgan SP BV - Alibaba Euro Inline Warrants Dec 2020 A | 20,000,000   | 2020/06/04 | 2020/12/31 11.42  |
| 48407    | J P Morgan SP BV - Alibaba Euro Inline Warrants Dec 2020 B | 20,000,000   | 2020/06/04 | 2020/12/31 10.08  |
| 48408    | J P Morgan SP BV - Alibaba Euro Inline Warrants Dec 2020 C | 28,000,000   | 2020/06/04 | 2020/12/31 10.28  |
| 48412    | J P Morgan SP BV - CCB Euro Inline Warrants Dec 2020 A     | 15,000,000   | 2020/06/04 | 2020/12/31 12.23  |
| 48413    | J P Morgan SP BV - CCB Euro Inline Warrants Dec 2020 B     | 25,000,000   | 2020/06/04 | 2020/12/31 10.00  |
| 48419    | J P Morgan SP BV - HSI Euro Inline Warrants Dec 2020 E     | 20,000,000   | 2020/06/04 | 2020/12/30 16.78  |
| 48420    | J P Morgan SP BV - HSI Euro Inline Warrants Dec 2020 F     | 26,000,000   | 2020/06/04 | 2020/12/30 10.06  |
| 48421    | J P Morgan SP BV - HSI Euro Inline Warrants Dec 2020 G     | 33,000,000   | 2020/06/04 | 2020/12/30 10.73  |
| 48422    | J P Morgan SP BV - HSI Euro Inline Warrants Dec 2020 H     | 20,000,000   | 2020/06/04 | 2020/12/30 10.02  |
| 48423    | J P Morgan SP BV - HSI Euro Inline Warrants Dec 2020 I     | 22,000,000   | 2020/06/04 | 2020/12/30 10.25  |
| 48416    | J P Morgan SP BV - Meituan Euro Inline Warrants Dec 2020 C | 20,000,000   | 2020/06/04 | 2020/12/31 10.30  |
| 48417    | J P Morgan SP BV - Meituan Euro Inline Warrants Dec 2020 D | 25,000,000   | 2020/06/04 | 2020/12/31 11.60  |
| 48418    | J P Morgan SP BV - Meituan Euro Inline Warrants Dec 2020 E | 15,000,000   | 2020/06/04 | 2020/12/31 12.77  |
| 48414    | J P Morgan SP BV - Ping An Euro Inline Warrants Dec 2020 A | 20,000,000   | 2020/06/04 | 2020/12/31 12.50  |
| 48415    | J P Morgan SP BV - Ping An Euro Inline Warrants Dec 2020 B | 28,000,000   | 2020/06/04 | 2020/12/31 11.54  |
| 48409    | J P Morgan SP BV - Tencent Euro Inline Warrants Dec 2020 A | 29,000,000   | 2020/06/04 | 2020/12/31 10.35  |
| 48410    | J P Morgan SP BV - Tencent Euro Inline Warrants Dec 2020 B | 20,000,000   | 2020/06/04 | 2020/12/31 10.04  |
| 48411    | J P Morgan SP BV - Tencent Euro Inline Warrants Dec 2020 C | 18,000,000   | 2020/06/04 | 2020/12/31 11.59  |
| 48424    | SG Issuer - Tencent Euro Inline Warrants Sep 2020 J        | 30,000,000   | 2020/06/08 | 2020/09/30 11.40  |
| 48425    | SG Issuer - Tencent Euro Inline Warrants Oct 2020 C        | 25,000,000   | 2020/06/08 | 2020/10/30 11.25  |
| 48426    | SG Issuer - Tencent Euro Inline Warrants Jan 2021 A        | 25,000,000   | 2020/06/08 | 2021/01/29 10.50  |
| 48436    | HK Bank - HSI Euro Inline Warrants Sep 2022 C              | 20,000,000   | 2020/06/30 | 2022/09/29 10.00  |
| 48435    | HK Bank - HSI Euro Inline Warrants Dec 2022 C              | 21,000,000   | 2020/06/30 | 2022/12/29 10.29  |
| 48432    | HK Bank - HSI Euro Inline Warrants Jun 2023 A              | 22,000,000   | 2020/06/30 | 2023/06/29 10.12  |
| 48433    | HK Bank - HSI Euro Inline Warrants Jun 2023 B              | 25,000,000   | 2020/06/30 | 2023/06/29 10.25  |
| 48434    | HK Bank - HSI Euro Inline Warrants Jul 2023 A              | 24,000,000   | 2020/06/30 | 2023/07/28 10.32  |
| 48428    | HK Bank - HSI Euro Inline Warrants Aug 2023 A              | 33,000,000   | 2020/06/30 | 2023/08/30 10.23  |
| 48429    | HK Bank - HSI Euro Inline Warrants Sep 2023 A              | 35,000,000   | 2020/06/30 | 2023/09/28 10.15  |
| 48430    | HK Bank - HSI Euro Inline Warrants Sep 2023 B              | 28,000,000   | 2020/06/30 | 2023/09/28 10.36  |
| 48431    | HK Bank - HSI Euro Inline Warrants Oct 2023 A              | 23,000,000   | 2020/06/30 | 2023/10/30 10.12  |
| 48427    | HK Bank - HSI Euro Inline Warrants Nov 2023 A              | 22,000,000   | 2020/06/30 | 2023/11/29 10.12  |
| 總額       |                                                            |              |            | 2,772.68          |

# 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) |
| 2019 | 第2季 | 112.77       | 16,566.96  |
|      | 第3季 | 239.99       | 13,294.79  |
|      | 第4季 | 164.91       | 13,255.37  |
| 2020 | 第1季 | 319.42       | 15,099.72  |
|      | 第2季 | 301.09       | 15,696.77  |

## 債券面值

|      |     | 發行數目  | 面值(百萬港元)     |
|------|-----|-------|--------------|
| 2019 | 第2季 | 1,291 | 4,908,086.43 |
|      | 第3季 | 1,347 | 5,086,272.01 |
|      | 第4季 | 1,388 | 5,204,984.02 |
| 2020 | 第1季 | 1,421 | 5,230,149.11 |
|      | 第2季 | 1,444 | 5,312,678.21 |

## 新上市統計－債券

|      |     | 新上市債券數目 | 集資金額(百萬港元) |
|------|-----|---------|------------|
| 2019 | 第2季 | 107     | 353,472.05 |
|      | 第3季 | 107     | 349,112.45 |
|      | 第4季 | 112     | 369,156.62 |
| 2020 | 第1季 | 91      | 305,402.74 |
|      | 第2季 | 90      | 373,669.32 |

# 主 板 債 務 證 券

## 新上市債券

2020 第 2 季

| 股份代號   | 債券                                                   | 發行本金              | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|--------|------------------------------------------------------|-------------------|------------|------------|----------------|
| 40026# | 昆明市城建設投資開發有限責任公司5.80%票據2022年                         | USD 200,000,000   | 2020/04/01 | 2022/10/17 | 1,554.23       |
| 40199  | 友邦保險控股有限公司3.375%票據2030年                              | USD 1,000,000,000 | 2020/04/08 | 2030/04/07 | 7,777.07       |
| 40198  | IFC Development (Corp Treasury) Ltd. 2.67%有擔保票據2030年 | HKD 2,000,000,000 | 2020/04/09 | 2030/04/08 | 2,000.00       |
| 40019# | Hongkong Ideal Investment Ltd. 14.75%有擔保優先票據2022年    | USD 40,000,000    | 2020/04/15 | 2022/10/08 | 311.86         |
| 40200  | PETRONAS Capital Ltd. 3.50%有擔保票據2030年                | USD 2,250,000,000 | 2020/04/22 | 2030/04/21 | 17,328.17      |
| 40201  | PETRONAS Capital Ltd. 4.55%有擔保票據2050年                | USD 2,750,000,000 | 2020/04/22 | 2050/04/21 | 21,450.00      |
| 40202  | PETRONAS Capital Ltd. 4.80%有擔保票據2060年                | USD 1,000,000,000 | 2020/04/22 | 2060/04/21 | 7,800.00       |
| 40025# | 東方資本有限公司7.00%有擔保債券2022年                              | USD 40,000,000    | 2020/04/22 | 2022/10/17 | 313.59         |
| 40203  | Sunny Express Enterprises Corp. 2.625%有擔保票據2025年     | USD 300,000,000   | 2020/04/24 | 2025/04/23 | 2,338.81       |
| 40204  | Sunny Express Enterprises Corp. 3.125%有擔保票據2030年     | USD 600,000,000   | 2020/04/24 | 2030/04/23 | 4,667.65       |
| 04215# | 中華人民共和國香港特別行政區1.10%債券2023年                           | HKD 4,000,000,000 | 2020/04/24 | 2023/01/17 | 4,060.00       |
| 40205  | 聯想集團有限公司5.875%票據2025年                                | USD 650,000,000   | 2020/04/27 | 2025/04/25 | 5,070.00       |
| 40206  | 香港國際(青島)有限公司3.99%債券2023年                             | USD 300,000,000   | 2020/04/28 | 2023/04/27 | 2,340.00       |
| 40207  | 平度市國有資產經營管理有限公司5.75%有擔保債券2023                        | USD 200,000,000   | 2020/04/29 | 2023/04/28 | 1,560.00       |
| 40208  | 香港按揭證券有限公司1.18%票據2022年                               | HKD 580,000,000   | 2020/05/04 | 2022/04/29 | 580.00         |
| 40209  | Xiaomi Best Time International Ltd. 3.375%優先票據2030年  | USD 600,000,000   | 2020/05/04 | 2030/04/29 | 4,621.27       |
| 40210  | 金山軟件有限公司0.625%可換股債券2025年                             | HKD 3,100,000,000 | 2020/05/04 | 2025/04/29 | 3,100.00       |
| 40213  | 時代中國控股有限公司6.00%優先票據2021年                             | USD 200,000,000   | 2020/05/07 | 2021/05/05 | 1,560.00       |
| 40211  | Wharf REIC Finance (BVI) Ltd. 2.375%有擔保票據2025年       | USD 450,000,000   | 2020/05/08 | 2025/05/07 | 3,498.66       |
| 40212  | Wharf REIC Finance (BVI) Ltd. 2.875%有擔保票據2030年       | USD 300,000,000   | 2020/05/08 | 2030/05/07 | 2,314.10       |
| 40214  | 水發國際控股(BVI)有限公司4.30%有擔保債券2023年                       | USD 350,000,000   | 2020/05/11 | 2023/05/08 | 2,730.00       |
| 40215  | 紅河發展集團有限公司7.00%債券2023年                               | USD 108,000,000   | 2020/05/11 | 2023/05/08 | 842.40         |
| 40216  | Amber Treasure Ventures Ltd. 3.50%信用增強票據2022年        | USD 500,000,000   | 2020/05/11 | 2022/05/08 | 3,900.00       |
| 40205# | 聯想集團有限公司5.875%票據2025年                                | USD 350,000,000   | 2020/05/13 | 2025/04/25 | 2,757.30       |
| 40217  | SHK Ppt (Capital Market) Ltd. 2.75%有擔保票據2030年        | USD 500,000,000   | 2020/05/14 | 2030/05/13 | 3,875.67       |
| 40220  | Sinopec Grp Overseas Dev (2018) Ltd. 2.15%優先票據2025年  | USD 1,000,000,000 | 2020/05/14 | 2025/05/13 | 7,790.80       |
| 40221  | Sinopec Grp Overseas Dev (2018) Ltd. 2.70%優先票據2030年  | USD 1,500,000,000 | 2020/05/14 | 2030/05/13 | 11,641.04      |
| 40222  | Sinopec Grp Overseas Dev (2018) Ltd. 3.35%優先票據2050年  | USD 500,000,000   | 2020/05/14 | 2050/05/13 | 3,900.00       |
| 40219  | AMTD International Inc. 優先永久證券                       | USD 200,000,000   | 2020/05/15 | -          | 1,560.00       |
| 04230# | 中華人民共和國香港特別行政區1.68%債券2026年                           | HKD 2,500,000,000 | 2020/05/15 | 2026/01/21 | 2,668.00       |
| 40218  | Weimob Investment Ltd. 1.50%有擔保可換股債券2025年            | USD 150,000,000   | 2020/05/18 | 2025/05/15 | 1,170.00       |
| 40223  | NWD (MTN) Ltd. 4.50%有擔保票據2030年                       | USD 600,000,000   | 2020/05/20 | 2020/05/19 | 4,676.26       |
| 04080  | 香港金融管理局0.33%外匯基金票據2022年                              | HKD 1,200,000,000 | 2020/05/22 | 2022/05/23 | 1,200.36       |
| 40224  | 中升集團控股有限公司零息可換股債券2025年                               | HKD 4,560,000,000 | 2020/05/22 | 2025/05/21 | 4,560.00       |
| 40225  | 正榮地產集團有限公司8.35%優先票據2024年                             | USD 200,000,000   | 2020/05/22 | 2024/03/10 | 1,558.77       |
| 40226  | 產投海外有限公司3.80%有擔保票據2021年                              | USD 300,000,000   | 2020/05/22 | 2021/05/20 | 2,340.00       |
| 40229  | 香港按揭證券有限公司0.97%票據2023年A                              | HKD 1,000,000,000 | 2020/05/27 | 2023/05/30 | 1,000.00       |
| 40231  | 西安航天高技術產業發展有限公司3.95%信用增強債券2023年                      | USD 200,000,000   | 2020/05/27 | 2023/05/26 | 1,560.00       |
| 40227  | Henderson Land MTN Ltd. 2.375%票據2025年                | USD 300,000,000   | 2020/05/28 | 2025/05/27 | 2,333.10       |
| 40228  | 香港按揭證券有限公司0.66%票據2023年                               | USD 50,000,000    | 2020/05/28 | 2023/05/27 | 390.00         |
| 40230  | 濟寧高新城建設投資有限公司5.50%債券2023年                            | USD 118,000,000   | 2020/05/28 | 2023/05/27 | 920.40         |

# 主 板 債 務 證 券

| 股份代號    | 債券                                                     | 發行本金 | 上市日期          | 到期日        | 集資金額<br>(百萬港元) |           |
|---------|--------------------------------------------------------|------|---------------|------------|----------------|-----------|
| 40233   | 壽光市城市建設投資開發有限公司3.50%信用增強債券2023年                        | USD  | 40,000,000    | 2020/05/29 | 2023/04/28     | 312.00    |
| 40234   | 天津臨港投資控股有限公司3.70%信用增強票據2023年                           | USD  | 68,000,000    | 2020/05/29 | 2023/05/28     | 530.40    |
| 40235   | 香港按揭證券有限公司1.00%票據2023年                                 | HKD  | 400,000,000   | 2020/05/29 | 2023/05/30     | 400.00    |
| 40232   | 東亞銀行有限公司有期限次級票據2030年                                   | USD  | 600,000,000   | 2020/06/01 | 2030/05/29     | 4,660.91  |
| 05642 # | 常德市經濟建設投資集團有限公司6.60%債券2022年                            | USD  | 100,000,000   | 2020/06/02 | 2022/08/15     | 785.77    |
| 40236   | Hysan (MTN) Ltd. 2.875%有擔保票據2027年                      | USD  | 400,000,000   | 2020/06/03 | 2027/06/02     | 3,098.47  |
| 40244   | 湘潭城鄉建設發展集團有限公司4.00%債券2023年                             | USD  | 105,000,000   | 2020/06/03 | 2023/06/02     | 819.00    |
| 40237   | CITIC Securities Finance MTN Co., Ltd. 1.75%有擔保票據2023年 | USD  | 500,000,000   | 2020/06/04 | 2023/06/03     | 3,899.77  |
| 40238   | CITIC Securities Finance MTN Co., Ltd. 2.00%有擔保票據2025年 | USD  | 500,000,000   | 2020/06/04 | 2025/06/03     | 3,894.66  |
| 40239   | 騰訊控股有限公司1.81%優先票據2026年                                 | USD  | 1,000,000,000 | 2020/06/04 | 2026/01/26     | 7,799.06  |
| 40240   | 騰訊控股有限公司2.39%優先票據2030年                                 | USD  | 2,250,000,000 | 2020/06/04 | 2030/06/03     | 17,545.25 |
| 40241   | 騰訊控股有限公司3.24%優先票據2050年                                 | USD  | 2,000,000,000 | 2020/06/04 | 2050/06/03     | 15,591.10 |
| 40242   | 騰訊控股有限公司3.29%優先票據2060年                                 | USD  | 750,000,000   | 2020/06/04 | 2060/06/03     | 5,846.14  |
| 40243   | 江蘇悅達集團有限公司5.70%債券2023年                                 | USD  | 100,000,000   | 2020/06/05 | 2023/06/04     | 780.00    |
| 40245   | Blue Bright Ltd. 2.50%有擔保債券2025年                       | USD  | 400,000,000   | 2020/06/05 | 2025/06/04     | 3,104.43  |
| 40246   | 金沙中國有限公司3.80%優先票據2026年                                 | USD  | 800,000,000   | 2020/06/05 | 2026/01/08     | 6,233.82  |
| 40247   | 金沙中國有限公司4.375%優先票據2030年                                | USD  | 700,000,000   | 2020/06/05 | 2030/06/18     | 5,437.07  |
| 40248   | Hongkong Electric Finance Ltd. 2.25%票據2030年            | USD  | 500,000,000   | 2020/06/10 | 2030/06/09     | 3,875.43  |
| 40249   | 銀川通聯資本投資運營有限公司4.45%債券2023年                             | USD  | 260,000,000   | 2020/06/11 | 2023/06/10     | 2,028.00  |
| 40251   | Amber Treasure Ventures Ltd. 2.90%信用增強票據2022年          | USD  | 350,000,000   | 2020/06/12 | 2022/06/11     | 2,730.00  |
| 40227 # | Henderson Land MTN Ltd. 2.375%票據2025年                  | USD  | 200,000,000   | 2020/06/12 | 2025/05/27     | 1,564.07  |
| 40253   | Champion MTN Ltd. 2.95%有擔保票據2030年                      | USD  | 300,000,000   | 2020/06/16 | 2030/06/15     | 2,307.24  |
| 40250   | 正榮地產集團有限公司8.30%優先票據2023年                               | USD  | 200,000,000   | 2020/06/16 | 2023/09/15     | 1,559.06  |
| 40252   | YONGDA Investment Ltd. 2.25%有擔保債券2025年                 | USD  | 600,000,000   | 2020/06/17 | 2025/06/16     | 4,654.54  |
| 40254   | Greenland Global Investment Ltd. 6.25%票據2022年          | USD  | 500,000,000   | 2020/06/17 | 2022/12/16     | 3,889.00  |
| 40255   | 鄭州航空港興港投資集團有限公司3.40%票據2023年                            | USD  | 300,000,000   | 2020/06/18 | 2023/06/17     | 2,340.00  |
| 40256   | 中國蒙牛乳業有限公司1.875%債券2025年                                | USD  | 500,000,000   | 2020/06/18 | 2025/06/17     | 3,881.52  |
| 40257   | 中國蒙牛乳業有限公司2.50%債券2030年                                 | USD  | 300,000,000   | 2020/06/18 | 2030/06/17     | 2,330.34  |
| 40022 # | 山東海運國際發展有限公司5.90%有擔保債券2022年                            | USD  | 40,000,000    | 2020/06/18 | 2022/10/17     | 311.99    |
| 40258   | 美高梅中國控股有限公司5.25%優先票據2025年                              | USD  | 500,000,000   | 2020/06/19 | 2025/06/18     | 3,900.00  |
| 40264   | 長興交通投資集團有限公司4.10%債券2023年                               | USD  | 110,000,000   | 2020/06/19 | 2023/06/18     | 858.00    |
| 04227 # | 中華人民共和國香港特別行政區2.13%債券2030年                             | HKD  | 1,700,000,000 | 2020/06/19 | 2030/07/16     | 1,920.49  |
| 40259   | 永利澳門有限公司5.50%優先票據2026年                                 | USD  | 750,000,000   | 2020/06/22 | 2026/01/15     | 5,850.00  |
| 40260   | Castle Peak Power Finance Co. Ltd. 2.20%票據2030年        | USD  | 350,000,000   | 2020/06/23 | 2030/06/22     | 2,706.47  |
| 40262   | NWD Finance (BVI) Ltd. 有擔保優先永久資本證券                     | USD  | 650,000,000   | 2020/06/23 | -              | 5,070.00  |
| 40263   | 咸陽金融控股集團有限公司3.80%信用增強債券2023年                           | USD  | 100,000,000   | 2020/06/23 | 2023/06/22     | 780.00    |
| 40265   | 香港按揭證券有限公司0.95%票據2022年                                 | HKD  | 500,000,000   | 2020/06/23 | 2022/06/22     | 500.00    |
| 40261   | 中國華電海外發展2018有限公司優先有擔保永久證券                              | USD  | 500,000,000   | 2020/06/24 | -              | 3,900.00  |
| 40266   | Skyland Mining (BVI) Ltd. 2.80%有擔保債券2023年              | USD  | 300,000,000   | 2020/06/24 | 2023/06/23     | 2,337.33  |
| 40268   | 恒健國際投資有限公司1.875%有擔保債券2025年                             | USD  | 500,000,000   | 2020/06/24 | 2025/06/23     | 3,883.74  |
| 40269   | CNPC Global Capital Ltd. 1.125%有擔保債券2023年              | USD  | 600,000,000   | 2020/06/24 | 2023/06/23     | 4,679.44  |



## 主 板 債 務 證 券

| 股份代號  | 債券                                                 | 發行本金 |               | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|-------|----------------------------------------------------|------|---------------|------------|------------|----------------|
| 40270 | CNPC Global Capital Ltd. 1.35%有擔保債券2025年           | USD  | 900,000,000   | 2020/06/24 | 2025/06/23 | 7,011.86       |
| 40271 | CNPC Global Capital Ltd. 2.00%有擔保債券2030年           | USD  | 500,000,000   | 2020/06/24 | 2030/06/23 | 3,871.96       |
| 40267 | 嵊州市投資控股有限公司4.08%債券2023年                            | USD  | 250,000,000   | 2020/06/26 | 2023/06/24 | 1,950.00       |
| 40277 | COSL Singapore Capital Ltd. 1.875%有擔保優先票據2025年     | USD  | 500,000,000   | 2020/06/26 | 2025/06/24 | 3,894.82       |
| 40278 | COSL Singapore Capital Ltd. 2.50%有擔保優先票據2030年      | USD  | 300,000,000   | 2020/06/26 | 2030/06/24 | 2,318.71       |
| 40274 | Bluestar Finance Holdings Ltd.次級有擔保永久證券            | USD  | 500,000,000   | 2020/06/26 | -          | 3,900.00       |
| 40284 | 中國建設銀行股份有限公司二級資本債券2030年                            | USD  | 2,000,000,000 | 2020/06/26 | 2030/06/24 | 15,570.04      |
| 40286 | 佳源國際控股有限公司11.75%優先票據2021年                          | USD  | 120,000,000   | 2020/06/26 | 2021/06/23 | 933.87         |
| 40275 | 中國蒙牛乳業有限公司1.50%可換股債券2023年                          | USD  | 100,000,000   | 2020/06/26 | 2023/06/24 | 780.00         |
| 40279 | Bank of China Ltd., Hong Kong Branch 1.25%票據2025年  | USD  | 600,000,000   | 2020/06/26 | 2025/06/24 | 4,655.20       |
| 40280 | Bank of China Ltd., Hong Kong Branch浮息票據2023年      | USD  | 400,000,000   | 2020/06/26 | 2023/06/24 | 3,120.00       |
| 40276 | 渣打集團有限公司永久後償或有可轉換證券E                               | USD  | 1,000,000,000 | 2020/06/29 | -          | 7,799.38       |
| 40281 | 太原市龍城發展投資集團有限公司3.70%票據2023年                        | USD  | 300,000,000   | 2020/06/29 | 2023/06/26 | 2,340.00       |
| 40282 | 景瑞控股有限公司12.00%優先票據2022年                            | USD  | 150,000,000   | 2020/06/29 | 2022/09/26 | 1,168.57       |
| 40283 | 銀城國際控股有限公司12.00%優先票據2021年                          | USD  | 140,000,000   | 2020/06/29 | 2021/06/25 | 1,077.19       |
| 40272 | 中梁控股集團有限公司8.75%優先票據2021年                           | USD  | 250,000,000   | 2020/06/30 | 2021/06/27 | 1,940.95       |
| 40285 | Strategic International Group Ltd. 零息有擔保可換股債券2025年 | EUR  | 320,000,000   | 2020/06/30 | 2025/06/29 | 2,782.82       |
| 40287 | 巨智環球有限公司5.625%有擔保票據2021年                           | USD  | 300,000,000   | 2020/06/30 | 2021/06/28 | 2,340.00       |
| 總額    |                                                    |      |               |            |            | 373,669.32     |

# 進一步發行

## 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) | 槓桿及<br>反向產品<br>(L&I Products)<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 |
|------|-----|--------------------------------|-----------------------------------------|------------------------------------|--------------|--------------|------------|
| 2019 | 第2季 | 320,187.84                     | 27,260.07                               | 31,098.07                          | 23.36        | 378,569.33   | 6.79       |
|      | 第3季 | 270,633.80                     | 50,710.39                               | 45,153.02                          | 21.28        | 366,518.49   | 7.34       |
|      | 第4季 | 224,727.67                     | 45,633.27                               | 39,435.74                          | 38.35        | 309,835.02   | 6.49       |
| 2020 | 第1季 | 387,806.77                     | 97,001.95                               | 50,149.90                          | 71.43        | 535,030.05   | 7.15       |
|      | 第2季 | 260,618.62                     | 122,238.18                              | 38,521.75                          | 15.38        | 421,393.92   | 6.17       |

註：成交金額包括非港元交易買賣的證券

### 單位信託及互惠基金市值

|      |     | 交易所<br>買賣基金<br>(ETF)<br>(百萬港元) |            | 槓桿及<br>反向產品<br>(L&I Products)<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) |              |
|------|-----|--------------------------------|------------|-----------------------------------------|----------|------------------------------------|------------|--------------|--------|--------------|--------------|
|      |     | 發行數目                           |            | 發行數目                                    |          | 發行數目                               |            | 發行數目         |        | 發行數目         |              |
| 2019 | 第2季 | 114                            | 582,193.93 | 23                                      | 7,296.53 | 11                                 | 331,090.25 | 1            | 639.39 | 149          | 921,220.10   |
|      | 第3季 | 117                            | 631,343.22 | 24                                      | 7,589.72 | 11                                 | 292,015.66 | 1            | 639.39 | 153          | 931,587.98   |
|      | 第4季 | 111                            | 671,496.58 | 24                                      | 7,543.00 | 12                                 | 288,708.06 | 1            | 752.14 | 148          | 968,499.79   |
| 2020 | 第1季 | 107                            | 648,207.86 | 24                                      | 7,476.30 | 12                                 | 226,773.06 | 1            | 502.71 | 144          | 882,959.93   |
|      | 第2季 | 108                            | 798,018.79 | 26                                      | 9,966.12 | 12                                 | 216,522.80 | 1            | 596.21 | 147          | 1,025,103.93 |

### 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<br>(百萬港元) |
|--------------------|-----|---|----------------|
| 2019               | 第2季 | 3 | –              |
|                    | 第3季 | 7 | –              |
|                    | 第4季 | 2 | 0.00           |
| 2020               | 第1季 | 5 | –              |
|                    | 第2季 | 3 | –              |

## 主板 單位信託及互惠基金

### 新上市單位信託及互惠基金

2020 第 2 季

| 股份代號        | 單位信託及互惠基金                   | 基金經理         | 發行價(港元) | 上市時之<br>發行單位 | 集資金額<br>(百萬港元) | 認購倍數 | 上市日期       |
|-------------|-----------------------------|--------------|---------|--------------|----------------|------|------------|
| 07266       | 南方東英納斯達克100指數<br>每日槓桿(2x)產品 | 南方東英資產管理有限公司 | n.a.    | n.a.         | n.a.           | n.a. | 2020/05/15 |
| 07299       | 南方東英黃金期貨每日槓桿(2x)產品          | 南方東英資產管理有限公司 | n.a.    | n.a.         | n.a.           | n.a. | 2020/06/05 |
| 03091/09091 | 日興資產管理電子遊戲主動型ETF            | 日興資產管理香港有限公司 | n.a.    | n.a.         | n.a.           | n.a. | 2020/06/16 |

## 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) |
|------|-----|-------|-------------------|----------------|
| 2019 | 第2季 | 3,884 | 109,546.95        | 493,005.18     |
|      | 第3季 | 3,684 | 92,124.47         | 481,965.34     |
|      | 第4季 | 3,298 | 86,307.46         | 423,011.82     |
| 2020 | 第1季 | 4,013 | 169,920.86        | 589,667.58     |
|      | 第2季 | 4,695 | 148,866.64        | 578,857.45     |

### 新上市牛熊證統計

|      |     | 新上市牛熊證數目 | 集資金額(百萬港元) |
|------|-----|----------|------------|
| 2019 | 第2季 | 6,036    | 216,341.07 |
|      | 第3季 | 6,528    | 246,999.38 |
|      | 第4季 | 5,701    | 203,533.52 |
| 2020 | 第1季 | 10,246   | 358,188.08 |
|      | 第2季 | 8,674    | 298,346.18 |

# 主板 可收回牛熊證

## 新上市牛熊證

2020 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 55636    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Sep 2020 P      | 60,000,000   | 2020/04/01 | 2020/09/30 | 15.00          |
| 55588    | BOCI Asia Ltd. - HSI R Bull CBBC Oct 2022 T                | 150,000,000  | 2020/04/01 | 2022/10/28 | 37.50          |
| 55599    | BOCI Asia Ltd. - HSI R Bull CBBC Oct 2022 U                | 150,000,000  | 2020/04/01 | 2022/10/28 | 37.50          |
| 55603    | BOCI Asia Ltd. - HSI R Bull CBBC Oct 2022 V                | 150,000,000  | 2020/04/01 | 2022/10/28 | 37.50          |
| 54915    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2020 I    | 50,000,000   | 2020/04/01 | 2020/09/29 | 12.50          |
| 53243    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 C     | 150,000,000  | 2020/04/01 | 2022/12/29 | 37.50          |
| 55199    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 D     | 150,000,000  | 2020/04/01 | 2022/12/29 | 37.50          |
| 55224    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 E     | 150,000,000  | 2020/04/01 | 2022/12/29 | 37.50          |
| 53036    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 H     | 250,000,000  | 2020/04/01 | 2020/12/30 | 62.50          |
| 53091    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 I     | 250,000,000  | 2020/04/01 | 2020/12/30 | 62.50          |
| 53142    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 J     | 250,000,000  | 2020/04/01 | 2020/12/30 | 62.50          |
| 53242    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 K     | 250,000,000  | 2020/04/01 | 2020/12/30 | 62.50          |
| 54327    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 Q | 50,000,000   | 2020/04/01 | 2020/12/30 | 12.50          |
| 54803    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 R | 50,000,000   | 2020/04/01 | 2020/12/30 | 12.50          |
| 55198    | BNP Paribas Issuance B.V. - Ping An R Bull CBBC Sep 2020 U | 200,000,000  | 2020/04/01 | 2020/09/29 | 50.00          |
| 54080    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 C | 50,000,000   | 2020/04/01 | 2020/11/27 | 12.50          |
| 54131    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 D | 50,000,000   | 2020/04/01 | 2020/11/27 | 12.50          |
| 54229    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 A | 50,000,000   | 2020/04/01 | 2020/12/30 | 12.50          |
| 54130    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 H | 50,000,000   | 2020/04/01 | 2020/12/30 | 12.50          |
| 54233    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 G | 50,000,000   | 2020/04/01 | 2020/12/30 | 12.50          |
| 54299    | BNP Paribas Issuance B.V. - Xiaomi R Bull CBBC Nov 2020 R  | 50,000,000   | 2020/04/01 | 2020/11/27 | 12.50          |
| 56174    | Credit Suisse AG - AIA R Bull CBBC Sep 2020 E              | 70,000,000   | 2020/04/01 | 2020/09/29 | 17.50          |
| 56178    | Credit Suisse AG - AIA R Bear CBBC Jul 2020 E              | 70,000,000   | 2020/04/01 | 2020/07/30 | 17.50          |
| 56163    | Credit Suisse AG - Geely Auto R Bull CBBC Sep 2020 D       | 40,000,000   | 2020/04/01 | 2020/09/29 | 10.00          |
| 56164    | Credit Suisse AG - HKEX R Bull CBBC Sep 2020 E             | 50,000,000   | 2020/04/01 | 2020/09/29 | 12.50          |
| 56353    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 F              | 200,000,000  | 2020/04/01 | 2022/09/29 | 50.00          |
| 56416    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 G              | 200,000,000  | 2020/04/01 | 2022/09/29 | 50.00          |
| 56458    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 H              | 200,000,000  | 2020/04/01 | 2022/09/29 | 50.00          |
| 56311    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 K              | 200,000,000  | 2020/04/01 | 2022/11/29 | 50.00          |
| 56299    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 M              | 200,000,000  | 2020/04/01 | 2022/11/29 | 50.00          |
| 56396    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 O              | 300,000,000  | 2020/04/01 | 2022/12/29 | 75.00          |
| 56306    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 V              | 300,000,000  | 2020/04/01 | 2022/12/29 | 75.00          |
| 56139    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 V              | 200,000,000  | 2020/04/01 | 2020/10/29 | 50.00          |
| 56144    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 W              | 200,000,000  | 2020/04/01 | 2020/10/29 | 50.00          |
| 56267    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 E              | 200,000,000  | 2020/04/01 | 2020/11/27 | 50.00          |
| 56151    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 Y              | 200,000,000  | 2020/04/01 | 2020/11/27 | 50.00          |
| 56162    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 Z              | 200,000,000  | 2020/04/01 | 2020/11/27 | 50.00          |
| 56143    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 U              | 200,000,000  | 2020/04/01 | 2020/12/30 | 50.00          |
| 56238    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 V              | 200,000,000  | 2020/04/01 | 2020/12/30 | 50.00          |
| 56239    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 W              | 200,000,000  | 2020/04/01 | 2020/12/30 | 50.00          |
| 56265    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 X              | 200,000,000  | 2020/04/01 | 2020/12/30 | 50.00          |
| 56276    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 Y              | 200,000,000  | 2020/04/01 | 2020/12/30 | 50.00          |
| 56233    | Credit Suisse AG - Meituan Dianping R Bull CBBC Oct 2020 D | 80,000,000   | 2020/04/01 | 2020/10/29 | 20.00          |

# 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 56223    | Credit Suisse AG - Ping An R Bull CBBC Nov 2020 M        | 80,000,000   | 2020/04/01 | 2020/11/27 | 20.00          |
| 56214    | Credit Suisse AG - SUNAC R Bull CBBC Nov 2020 C          | 80,000,000   | 2020/04/01 | 2020/11/27 | 20.00          |
| 56227    | Credit Suisse AG - Sunny Optical R Bull CBBC Nov 2020 D  | 40,000,000   | 2020/04/01 | 2020/11/27 | 10.00          |
| 56165    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 F        | 50,000,000   | 2020/04/01 | 2020/10/29 | 12.50          |
| 57836    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Sep 2020 D | 60,000,000   | 2020/04/01 | 2020/09/28 | 15.00          |
| 57755    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 F     | 160,000,000  | 2020/04/01 | 2023/02/27 | 40.00          |
| 57781    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 G     | 160,000,000  | 2020/04/01 | 2023/02/27 | 40.00          |
| 57799    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 H     | 160,000,000  | 2020/04/01 | 2023/02/27 | 40.00          |
| 57815    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 Z     | 160,000,000  | 2020/04/01 | 2023/02/27 | 40.00          |
| 57721    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 K     | 160,000,000  | 2020/04/01 | 2023/03/30 | 40.00          |
| 57737    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 M     | 160,000,000  | 2020/04/01 | 2023/03/30 | 40.00          |
| 57738    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 N     | 160,000,000  | 2020/04/01 | 2023/03/30 | 40.00          |
| 57748    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 O     | 160,000,000  | 2020/04/01 | 2023/03/30 | 40.00          |
| 57753    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 P     | 160,000,000  | 2020/04/01 | 2023/03/30 | 40.00          |
| 57757    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 Q     | 160,000,000  | 2020/04/01 | 2023/03/30 | 40.00          |
| 56863    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 Z     | 160,000,000  | 2020/04/01 | 2020/10/29 | 40.00          |
| 56492    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 X     | 160,000,000  | 2020/04/01 | 2020/12/30 | 40.00          |
| 56515    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 Y     | 160,000,000  | 2020/04/01 | 2020/12/30 | 40.00          |
| 56961    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 J     | 160,000,000  | 2020/04/01 | 2021/02/25 | 40.00          |
| 57092    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 K     | 160,000,000  | 2020/04/01 | 2021/02/25 | 40.00          |
| 57184    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 L     | 160,000,000  | 2020/04/01 | 2021/02/25 | 40.00          |
| 57255    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 M     | 160,000,000  | 2020/04/01 | 2021/02/25 | 40.00          |
| 57304    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 N     | 160,000,000  | 2020/04/01 | 2021/02/25 | 40.00          |
| 58766    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 O     | 160,000,000  | 2020/04/01 | 2021/02/25 | 40.00          |
| 58779    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 P     | 160,000,000  | 2020/04/01 | 2021/02/25 | 40.00          |
| 58822    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 Q     | 160,000,000  | 2020/04/01 | 2021/02/25 | 40.00          |
| 58920    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 R     | 160,000,000  | 2020/04/01 | 2021/02/25 | 40.00          |
| 58980    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 S     | 160,000,000  | 2020/04/01 | 2021/02/25 | 40.00          |
| 58998    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 T     | 160,000,000  | 2020/04/01 | 2021/02/25 | 40.00          |
| 58726    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Nov 2020 E | 60,000,000   | 2020/04/01 | 2020/11/30 | 15.00          |
| 58237    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Sep 2020 M | 60,000,000   | 2020/04/01 | 2020/09/28 | 15.00          |
| 58240    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Mar 2021 M | 80,000,000   | 2020/04/01 | 2021/03/01 | 20.00          |
| 58474    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Mar 2021 N | 80,000,000   | 2020/04/01 | 2021/03/01 | 20.00          |
| 58533    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Sep 2020 A | 60,000,000   | 2020/04/01 | 2020/09/28 | 15.00          |
| 58727    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Nov 2020 A  | 60,000,000   | 2020/04/01 | 2020/11/30 | 15.00          |
| 53006    | HK Bank - AIA R Bull CBBC Oct 2020 D                     | 60,000,000   | 2020/04/01 | 2020/10/05 | 15.00          |
| 52809    | HK Bank - CSPC Pharma R Bull CBBC Oct 2020 A             | 40,000,000   | 2020/04/01 | 2020/10/12 | 10.00          |
| 52848    | HK Bank - China Tower R Bull CBBC Dec 2020 A             | 40,000,000   | 2020/04/01 | 2020/12/14 | 10.00          |
| 53015    | HK Bank - Geely Auto R Bull CBBC Sep 2020 B              | 40,000,000   | 2020/04/01 | 2020/09/21 | 10.00          |
| 52807    | HK Bank - HKEX R Bull CBBC Oct 2020 B                    | 40,000,000   | 2020/04/01 | 2020/10/05 | 10.00          |
| 52658    | HK Bank - HSI R Bull CBBC Sep 2022 H                     | 100,000,000  | 2020/04/01 | 2022/09/29 | 25.00          |
| 52718    | HK Bank - HSI R Bull CBBC Sep 2022 M                     | 100,000,000  | 2020/04/01 | 2022/09/29 | 25.00          |
| 52636    | HK Bank - HSI R Bear CBBC Sep 2020 J                     | 100,000,000  | 2020/04/01 | 2020/09/29 | 25.00          |
| 52637    | HK Bank - Meituan Dianping R Bull CBBC Sep 2020 B        | 40,000,000   | 2020/04/01 | 2020/09/07 | 10.00          |
| 52849    | HK Bank - SUNAC R Bull CBBC Sep 2020 C                   | 40,000,000   | 2020/04/01 | 2020/09/07 | 10.00          |



# 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 52729    | HK Bank - Tencent R Bull CBBC Aug 2020 D                     | 40,000,000   | 2020/04/01 | 2020/08/24 | 10.00          |
| 52754    | HK Bank - Tencent R Bull CBBC Sep 2020 D                     | 100,000,000  | 2020/04/01 | 2020/09/14 | 25.00          |
| 52808    | HK Bank - Tencent R Bear CBBC Aug 2020 Q                     | 40,000,000   | 2020/04/01 | 2020/08/20 | 10.00          |
| 55741    | Haitong Int'l Sec - China Life R Bull CBBC Mar 2021 B        | 40,000,000   | 2020/04/01 | 2021/03/30 | 10.00          |
| 55740    | Haitong Int'l Sec - Galaxy Ent R Bull CBBC Dec 2020 B        | 40,000,000   | 2020/04/01 | 2020/12/30 | 10.00          |
| 55729    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 L               | 150,000,000  | 2020/04/01 | 2023/01/30 | 37.50          |
| 55742    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 M               | 150,000,000  | 2020/04/01 | 2023/01/30 | 37.50          |
| 55749    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 M               | 150,000,000  | 2020/04/01 | 2020/11/27 | 37.50          |
| 55727    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 A               | 150,000,000  | 2020/04/01 | 2021/01/28 | 37.50          |
| 55728    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 B               | 150,000,000  | 2020/04/01 | 2021/01/28 | 37.50          |
| 55739    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Oct 2020 F  | 40,000,000   | 2020/04/01 | 2020/10/16 | 10.00          |
| 55730    | Haitong Int'l Sec - Tencent R Bull CBBC Nov 2020 H           | 40,000,000   | 2020/04/01 | 2020/11/20 | 10.00          |
| 55731    | Haitong Int'l Sec - Tencent R Bull CBBC Nov 2020 I           | 40,000,000   | 2020/04/01 | 2020/11/20 | 10.00          |
| 55691    | J P Morgan SP BV - Alibaba Group R Bull CBBC Aug 2020 E      | 80,000,000   | 2020/04/01 | 2020/08/14 | 20.00          |
| 55764    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 H                | 200,000,000  | 2020/04/01 | 2022/10/28 | 50.00          |
| 55789    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 I                | 400,000,000  | 2020/04/01 | 2022/10/28 | 100.00         |
| 55794    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 M                | 300,000,000  | 2020/04/01 | 2022/10/28 | 75.00          |
| 55780    | J P Morgan SP BV - HSI R Bull CBBC Nov 2022 Q                | 240,000,000  | 2020/04/01 | 2022/11/29 | 60.00          |
| 55792    | J P Morgan SP BV - HSI R Bull CBBC Nov 2022 S                | 200,000,000  | 2020/04/01 | 2022/11/29 | 50.00          |
| 55798    | J P Morgan SP BV - HSI R Bull CBBC Nov 2022 W                | 240,000,000  | 2020/04/01 | 2022/11/29 | 64.80          |
| 55787    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 X                | 300,000,000  | 2020/04/01 | 2022/12/29 | 75.00          |
| 55793    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 Y                | 400,000,000  | 2020/04/01 | 2022/12/29 | 100.00         |
| 55800    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 G                | 200,000,000  | 2020/04/01 | 2020/10/29 | 50.00          |
| 55646    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 A                | 200,000,000  | 2020/04/01 | 2020/11/27 | 50.00          |
| 55651    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 X                | 240,000,000  | 2020/04/01 | 2020/12/30 | 60.00          |
| 55659    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 Y                | 200,000,000  | 2020/04/01 | 2020/12/30 | 50.00          |
| 55724    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Aug 2020 E   | 80,000,000   | 2020/04/01 | 2020/08/14 | 20.00          |
| 55726    | J P Morgan SP BV - Ping An R Bull CBBC Aug 2020 E            | 100,000,000  | 2020/04/01 | 2020/08/14 | 25.00          |
| 55660    | J P Morgan SP BV - Tencent R Bull CBBC Aug 2020 I            | 50,000,000   | 2020/04/01 | 2020/08/14 | 12.50          |
| 55521    | Morgan Stanley Asia Products - HSI R Bull CBBC Aug 2022 J    | 150,000,000  | 2020/04/01 | 2022/08/30 | 37.50          |
| 55538    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 A    | 150,000,000  | 2020/04/01 | 2022/11/29 | 37.50          |
| 55578    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 C    | 150,000,000  | 2020/04/01 | 2023/01/30 | 37.50          |
| 52533    | Morgan Stanley Asia Products - HSI R Bear CBBC Jul 2020 D    | 150,000,000  | 2020/04/01 | 2020/07/30 | 37.50          |
| 52539    | Morgan Stanley Asia Products - HSI R Bear CBBC Jul 2020 E    | 150,000,000  | 2020/04/01 | 2020/07/30 | 37.50          |
| 55502    | Morgan Stanley Asia Products - HSI R Bear CBBC Jul 2020 F    | 150,000,000  | 2020/04/01 | 2020/07/30 | 37.50          |
| 52542    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 F    | 150,000,000  | 2020/04/01 | 2020/09/29 | 37.50          |
| 52621    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 J    | 150,000,000  | 2020/04/01 | 2020/10/29 | 37.50          |
| 52635    | Morgan Stanley Asia Products - Link REIT R Bull CBBC Jan 21A | 40,000,000   | 2020/04/01 | 2021/01/04 | 10.00          |
| 56020    | SG Issuer - AAC Tech R Bull CBBC Dec 2020 G                  | 100,000,000  | 2020/04/01 | 2020/12/30 | 25.00          |
| 56088    | SG Issuer - AIA R Bull CBBC Dec 2020 O                       | 60,000,000   | 2020/04/01 | 2020/12/30 | 15.00          |
| 56090    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 N             | 80,000,000   | 2020/04/01 | 2020/09/29 | 20.00          |
| 55991    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 M             | 80,000,000   | 2020/04/01 | 2020/11/27 | 20.00          |
| 55996    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 N             | 200,000,000  | 2020/04/01 | 2020/12/30 | 50.00          |
| 56021    | SG Issuer - China Life R Bull CBBC Jul 2021 C                | 150,000,000  | 2020/04/01 | 2021/07/29 | 37.50          |
| 56099    | SG Issuer - CNOOC R Bull CBBC Dec 2020 K                     | 40,000,000   | 2020/04/01 | 2020/12/30 | 10.00          |

# 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) |
|----------|-----------------------------------------------------|--------------|------------|------------|----------------|
| 56024    | SG Issuer - HKEX R Bull CBBC Dec 2020 D             | 50,000,000   | 2020/04/01 | 2020/12/30 | 12.50          |
| 56066    | SG Issuer - HSI R Bull CBBC Feb 2023 N              | 250,000,000  | 2020/04/01 | 2023/02/27 | 62.50          |
| 56068    | SG Issuer - HSI R Bull CBBC Feb 2023 O              | 250,000,000  | 2020/04/01 | 2023/02/27 | 62.50          |
| 56069    | SG Issuer - HSI R Bull CBBC Apr 2023 A              | 250,000,000  | 2020/04/01 | 2023/04/27 | 62.50          |
| 56072    | SG Issuer - HSI R Bull CBBC Apr 2023 B              | 250,000,000  | 2020/04/01 | 2023/04/27 | 62.50          |
| 56073    | SG Issuer - HSI R Bull CBBC Apr 2023 C              | 250,000,000  | 2020/04/01 | 2023/04/27 | 62.50          |
| 56086    | SG Issuer - HSI R Bull CBBC Apr 2023 D              | 500,000,000  | 2020/04/01 | 2023/04/27 | 125.00         |
| 55982    | SG Issuer - HSI R Bear CBBC Nov 2020 K              | 250,000,000  | 2020/04/01 | 2020/11/27 | 62.50          |
| 55985    | SG Issuer - HSI R Bear CBBC Dec 2020 I              | 250,000,000  | 2020/04/01 | 2020/12/30 | 62.50          |
| 55983    | SG Issuer - HSI R Bear CBBC Dec 2020 Z              | 250,000,000  | 2020/04/01 | 2020/12/30 | 62.50          |
| 55990    | SG Issuer - HSI R Bear CBBC Jan 2021 P              | 500,000,000  | 2020/04/01 | 2021/01/28 | 125.00         |
| 56040    | SG Issuer - HSI R Bear CBBC Jan 2021 Q              | 250,000,000  | 2020/04/01 | 2021/01/28 | 62.50          |
| 56041    | SG Issuer - HSI R Bear CBBC Jan 2021 R              | 500,000,000  | 2020/04/01 | 2021/01/28 | 125.00         |
| 56045    | SG Issuer - HSI R Bear CBBC Feb 2021 N              | 250,000,000  | 2020/04/01 | 2021/02/25 | 62.50          |
| 56050    | SG Issuer - HSI R Bear CBBC Feb 2021 O              | 250,000,000  | 2020/04/01 | 2021/02/25 | 62.50          |
| 56051    | SG Issuer - HSI R Bear CBBC Mar 2021 A              | 250,000,000  | 2020/04/01 | 2021/03/30 | 62.50          |
| 56052    | SG Issuer - HSI R Bear CBBC Mar 2021 B              | 250,000,000  | 2020/04/01 | 2021/03/30 | 62.50          |
| 56111    | SG Issuer - Meituan Dianping R Bull CBBC Feb 2021 C | 100,000,000  | 2020/04/01 | 2021/02/25 | 25.00          |
| 56025    | SG Issuer - Meituan Dianping R Bear CBBC Oct 2020 E | 100,000,000  | 2020/04/01 | 2020/10/29 | 25.00          |
| 56004    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 B | 100,000,000  | 2020/04/01 | 2020/12/30 | 25.00          |
| 56121    | SG Issuer - Ping An R Bull CBBC Jan 2021 D          | 100,000,000  | 2020/04/01 | 2021/01/28 | 25.00          |
| 56026    | SG Issuer - Ping An R Bear CBBC Dec 2020 B          | 100,000,000  | 2020/04/01 | 2020/12/30 | 25.00          |
| 56122    | SG Issuer - Sunny Optical R Bull CBBC Dec 2020 M    | 60,000,000   | 2020/04/01 | 2020/12/30 | 15.00          |
| 56130    | SG Issuer - Tencent R Bull CBBC Sep 2020 V          | 80,000,000   | 2020/04/01 | 2020/09/29 | 20.00          |
| 56131    | SG Issuer - Tencent R Bull CBBC Oct 2020 U          | 80,000,000   | 2020/04/01 | 2020/10/29 | 20.00          |
| 56132    | SG Issuer - Tencent R Bull CBBC Dec 2020 M          | 300,000,000  | 2020/04/01 | 2020/12/30 | 75.00          |
| 56008    | SG Issuer - Tencent R Bear CBBC Nov 2020 I          | 80,000,000   | 2020/04/01 | 2020/11/27 | 20.00          |
| 56014    | SG Issuer - Tencent R Bear CBBC Dec 2020 P          | 80,000,000   | 2020/04/01 | 2020/12/30 | 20.00          |
| 56015    | SG Issuer - Tencent R Bear CBBC Feb 2021 D          | 400,000,000  | 2020/04/01 | 2021/02/25 | 100.00         |
| 56037    | SG Issuer - Tencent R Bear CBBC Feb 2021 E          | 300,000,000  | 2020/04/01 | 2021/02/25 | 75.00          |
| 55874    | UBS AG - AAC Tech R Bull CBBC Dec 2020 E            | 80,000,000   | 2020/04/01 | 2020/12/31 | 20.00          |
| 55867    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 O       | 80,000,000   | 2020/04/01 | 2020/12/30 | 20.00          |
| 55802    | UBS AG - HSI R Bull CBBC Mar 2023 S                 | 200,000,000  | 2020/04/01 | 2023/03/30 | 50.00          |
| 55803    | UBS AG - HSI R Bull CBBC Mar 2023 T                 | 400,000,000  | 2020/04/01 | 2023/03/30 | 100.00         |
| 55813    | UBS AG - HSI R Bull CBBC Mar 2023 U                 | 200,000,000  | 2020/04/01 | 2023/03/30 | 50.00          |
| 55814    | UBS AG - HSI R Bull CBBC Mar 2023 V                 | 200,000,000  | 2020/04/01 | 2023/03/30 | 50.00          |
| 55832    | UBS AG - HSI R Bull CBBC Mar 2023 W                 | 200,000,000  | 2020/04/01 | 2023/03/30 | 50.00          |
| 55833    | UBS AG - HSI R Bull CBBC Mar 2023 X                 | 400,000,000  | 2020/04/01 | 2023/03/30 | 100.00         |
| 55834    | UBS AG - HSI R Bull CBBC Mar 2023 Y                 | 400,000,000  | 2020/04/01 | 2023/03/30 | 100.00         |
| 55241    | UBS AG - HSI R Bear CBBC Sep 2020 R                 | 200,000,000  | 2020/04/01 | 2020/09/29 | 50.00          |
| 55265    | UBS AG - HSI R Bear CBBC Sep 2020 U                 | 200,000,000  | 2020/04/01 | 2020/09/29 | 50.00          |
| 55266    | UBS AG - HSI R Bear CBBC Sep 2020 V                 | 200,000,000  | 2020/04/01 | 2020/09/29 | 50.00          |
| 55312    | UBS AG - HSI R Bear CBBC Sep 2020 W                 | 200,000,000  | 2020/04/01 | 2020/09/29 | 50.00          |
| 55390    | UBS AG - HSI R Bear CBBC Oct 2020 C                 | 200,000,000  | 2020/04/01 | 2020/10/29 | 50.00          |
| 55412    | UBS AG - HSI R Bear CBBC Oct 2020 D                 | 200,000,000  | 2020/04/01 | 2020/10/29 | 50.00          |

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| 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 55429    | UBS AG - HSI R Bear CBBC Oct 2020 H                      | 200,000,000  | 2020/04/01 | 2020/10/29 | 50.00          |
| 55438    | UBS AG - HSI R Bear CBBC Oct 2020 L                      | 200,000,000  | 2020/04/01 | 2020/10/29 | 50.00          |
| 55801    | UBS AG - HSI R Bear CBBC Dec 2020 S                      | 200,000,000  | 2020/04/01 | 2020/12/30 | 50.00          |
| 55868    | UBS AG - Meituan Dianping R Bull CBBC Dec 2020 Q         | 50,000,000   | 2020/04/01 | 2020/12/21 | 12.50          |
| 55869    | UBS AG - Meituan Dianping R Bull CBBC Dec 2020 R         | 50,000,000   | 2020/04/01 | 2020/12/22 | 12.50          |
| 55890    | UBS AG - Sunny Optical R Bull CBBC Dec 2020 G            | 40,000,000   | 2020/04/01 | 2020/12/30 | 10.00          |
| 55838    | UBS AG - Tencent R Bull CBBC Dec 2020 W                  | 40,000,000   | 2020/04/01 | 2020/12/07 | 10.00          |
| 55865    | UBS AG - Tencent R Bull CBBC Dec 2020 X                  | 40,000,000   | 2020/04/01 | 2020/12/08 | 10.00          |
| 55866    | UBS AG - Tencent R Bull CBBC Jan 2021 A                  | 200,000,000  | 2020/04/01 | 2021/01/28 | 50.00          |
| 55328    | UBS AG - Tencent R Bear CBBC Jul 2020 E                  | 40,000,000   | 2020/04/01 | 2020/07/22 | 10.00          |
| 55323    | UBS AG - Tencent R Bear CBBC Dec 2023 A                  | 200,000,000  | 2020/04/01 | 2023/12/21 | 50.00          |
| 55873    | UBS AG - Xiaomi R Bull CBBC Dec 2020 J                   | 60,000,000   | 2020/04/01 | 2020/12/22 | 15.00          |
| 55942    | Bank Vontobel - AAC Tech R Bull CBBC Dec 2020 B          | 40,000,000   | 2020/04/01 | 2020/12/18 | 10.00          |
| 55954    | Bank Vontobel - AAC Tech R Bull CBBC Dec 2020 C          | 40,000,000   | 2020/04/01 | 2020/12/04 | 10.00          |
| 55910    | Bank Vontobel - AIA R Bull CBBC Dec 2020 F               | 40,000,000   | 2020/04/01 | 2020/12/04 | 10.00          |
| 55980    | Bank Vontobel - China Life R Bull CBBC Mar 2021 A        | 80,000,000   | 2020/04/01 | 2021/03/12 | 20.00          |
| 55981    | Bank Vontobel - China Life R Bull CBBC Mar 2021 B        | 80,000,000   | 2020/04/01 | 2021/03/12 | 20.00          |
| 55963    | Bank Vontobel - CNOOC R Bull CBBC Dec 2020 K             | 40,000,000   | 2020/04/01 | 2020/12/18 | 10.00          |
| 55923    | Bank Vontobel - Geely Auto R Bull CBBC Nov 2020 E        | 40,000,000   | 2020/04/01 | 2020/11/13 | 10.00          |
| 55922    | Bank Vontobel - ICBC R Bull CBBC Dec 2020 C              | 40,000,000   | 2020/04/01 | 2020/12/11 | 10.00          |
| 55924    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 B  | 60,000,000   | 2020/04/01 | 2020/12/18 | 15.00          |
| 55935    | Bank Vontobel - Ping An R Bull CBBC Dec 2020 H           | 40,000,000   | 2020/04/01 | 2020/12/04 | 10.00          |
| 55936    | Bank Vontobel - Sunny Optical R Bull CBBC Dec 2020 J     | 40,000,000   | 2020/04/01 | 2020/12/04 | 10.00          |
| 55909    | Bank Vontobel - Tencent R Bull CBBC Nov 2020 L           | 40,000,000   | 2020/04/01 | 2020/11/20 | 10.00          |
| 55892    | Bank Vontobel - Tencent R Bull CBBC Dec 2020 R           | 40,000,000   | 2020/04/01 | 2020/12/18 | 10.00          |
| 60281    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 K              | 150,000,000  | 2020/04/02 | 2022/11/29 | 37.50          |
| 60289    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 L              | 150,000,000  | 2020/04/02 | 2022/11/29 | 37.50          |
| 60300    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 M              | 200,000,000  | 2020/04/02 | 2022/11/29 | 50.00          |
| 60310    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 N              | 150,000,000  | 2020/04/02 | 2022/11/29 | 37.50          |
| 60336    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 O              | 150,000,000  | 2020/04/02 | 2022/11/29 | 37.50          |
| 63024    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 I              | 200,000,000  | 2020/04/02 | 2020/10/29 | 50.00          |
| 63048    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 J              | 150,000,000  | 2020/04/02 | 2020/10/29 | 37.50          |
| 63063    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 K              | 150,000,000  | 2020/04/02 | 2020/10/29 | 37.50          |
| 60232    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 J | 40,000,000   | 2020/04/02 | 2020/12/30 | 10.00          |
| 60239    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 I          | 40,000,000   | 2020/04/02 | 2020/10/30 | 10.00          |
| 60265    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 J          | 40,000,000   | 2020/04/02 | 2020/10/30 | 10.00          |
| 60178    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 L   | 250,000,000  | 2020/04/02 | 2020/12/30 | 62.50          |
| 62512    | Credit Suisse AG - Alibaba Group R Bull CBBC Sep 2020 D  | 80,000,000   | 2020/04/02 | 2020/09/29 | 20.00          |
| 62428    | Credit Suisse AG - Galaxy Ent R Bear CBBC Oct 2020 F     | 100,000,000  | 2020/04/02 | 2020/10/29 | 25.00          |
| 62299    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 I            | 200,000,000  | 2020/04/02 | 2022/09/29 | 50.00          |
| 62300    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 J            | 200,000,000  | 2020/04/02 | 2022/09/29 | 50.00          |
| 62390    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 K            | 200,000,000  | 2020/04/02 | 2022/09/29 | 50.00          |
| 62419    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 L            | 200,000,000  | 2020/04/02 | 2022/09/29 | 50.00          |
| 62361    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 D            | 200,000,000  | 2020/04/02 | 2022/10/28 | 50.00          |
| 62548    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 E            | 200,000,000  | 2020/04/02 | 2020/09/29 | 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 62533    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 X            | 200,000,000  | 2020/04/02 | 2020/10/29 | 50.00          |
| 62561    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Y            | 200,000,000  | 2020/04/02 | 2020/10/29 | 50.00          |
| 62603    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 F            | 200,000,000  | 2020/04/02 | 2020/11/27 | 50.00          |
| 62599    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 G            | 300,000,000  | 2020/04/02 | 2021/01/28 | 75.00          |
| 62503    | Credit Suisse AG - Tencent R Bull CBBC Sep 2020 I        | 50,000,000   | 2020/04/02 | 2020/09/29 | 12.50          |
| 63202    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Sep 2020 E | 60,000,000   | 2020/04/02 | 2020/09/28 | 15.00          |
| 63227    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Mar 2021 D | 60,000,000   | 2020/04/02 | 2021/03/01 | 15.00          |
| 63184    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 F     | 160,000,000  | 2020/04/02 | 2022/11/29 | 40.00          |
| 63097    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 V     | 160,000,000  | 2020/04/02 | 2022/11/29 | 40.00          |
| 63110    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 W     | 160,000,000  | 2020/04/02 | 2022/11/29 | 40.00          |
| 63123    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 Z     | 160,000,000  | 2020/04/02 | 2022/11/29 | 40.00          |
| 63089    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 L     | 160,000,000  | 2020/04/02 | 2023/02/27 | 40.00          |
| 63081    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 V     | 160,000,000  | 2020/04/02 | 2023/03/30 | 40.00          |
| 63131    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Sep 2020 T     | 160,000,000  | 2020/04/02 | 2020/09/29 | 40.00          |
| 63137    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Sep 2020 U     | 160,000,000  | 2020/04/02 | 2020/09/29 | 40.00          |
| 63147    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Sep 2020 W     | 160,000,000  | 2020/04/02 | 2020/09/29 | 40.00          |
| 63148    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Sep 2020 X     | 160,000,000  | 2020/04/02 | 2020/09/29 | 40.00          |
| 63170    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 I     | 160,000,000  | 2020/04/02 | 2020/10/29 | 40.00          |
| 63165    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 R     | 160,000,000  | 2020/04/02 | 2020/12/30 | 40.00          |
| 63249    | Goldman Sachs SP (Asia) - Ping An R Bull CBBC Nov 2020 B | 80,000,000   | 2020/04/02 | 2020/11/30 | 20.00          |
| 63208    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Sep 2020 N | 60,000,000   | 2020/04/02 | 2020/09/28 | 15.00          |
| 63211    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Mar 2021 O | 60,000,000   | 2020/04/02 | 2021/03/01 | 15.00          |
| 63224    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Sep 2020 B | 60,000,000   | 2020/04/02 | 2020/09/28 | 15.00          |
| 59519    | HK Bank - AAC Tech R Bull CBBC Oct 2020 B                | 40,000,000   | 2020/04/02 | 2020/10/19 | 10.00          |
| 60155    | HK Bank - CC Bank R Bull CBBC Sep 2020 B                 | 60,000,000   | 2020/04/02 | 2020/09/28 | 15.00          |
| 60006    | HK Bank - China Life R Bull CBBC Sep 2020 B              | 40,000,000   | 2020/04/02 | 2020/09/21 | 10.00          |
| 60039    | HK Bank - CM Bank R Bull CBBC Aug 2020 B                 | 40,000,000   | 2020/04/02 | 2020/08/17 | 10.00          |
| 60024    | HK Bank - Galaxy Ent R Bull CBBC Nov 2020 B              | 60,000,000   | 2020/04/02 | 2020/11/09 | 15.00          |
| 59691    | HK Bank - HKEX R Bull CBBC Oct 2020 C                    | 40,000,000   | 2020/04/02 | 2020/10/19 | 10.00          |
| 59744    | HK Bank - HSCEI R Bull CBBC Sep 2022 F                   | 50,000,000   | 2020/04/02 | 2022/09/29 | 12.50          |
| 59273    | HK Bank - HSI R Bull CBBC Sep 2022 N                     | 100,000,000  | 2020/04/02 | 2022/09/29 | 25.00          |
| 60161    | HK Bank - ICBC R Bull CBBC Sep 2020 B                    | 60,000,000   | 2020/04/02 | 2020/09/28 | 15.00          |
| 59520    | HK Bank - SHK Ppt R Bull CBBC Aug 2020 A                 | 40,000,000   | 2020/04/02 | 2020/08/10 | 10.00          |
| 59374    | HK Bank - Tencent R Bull CBBC Jul 2020 V                 | 40,000,000   | 2020/04/02 | 2020/07/27 | 10.00          |
| 59618    | HK Bank - Tencent R Bull CBBC Aug 2020 C                 | 100,000,000  | 2020/04/02 | 2020/08/17 | 25.00          |
| 61230    | Haitong Int'l Sec - AIA R Bull CBBC Dec 2020 C           | 40,000,000   | 2020/04/02 | 2020/12/30 | 10.00          |
| 61251    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Oct 2020 F | 40,000,000   | 2020/04/02 | 2020/10/20 | 10.00          |
| 61257    | Haitong Int'l Sec - HKEX R Bull CBBC Nov 2020 A          | 40,000,000   | 2020/04/02 | 2020/11/02 | 10.00          |
| 61184    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 Q           | 150,000,000  | 2020/04/02 | 2022/11/29 | 37.50          |
| 61354    | Haitong Int'l Sec - HSI R Bull CBBC Feb 2023 P           | 150,000,000  | 2020/04/02 | 2023/02/27 | 37.50          |
| 61339    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 A           | 150,000,000  | 2020/04/02 | 2020/12/30 | 37.50          |
| 61417    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 B           | 150,000,000  | 2020/04/02 | 2020/12/30 | 37.50          |
| 61194    | Haitong Int'l Sec - Ping An R Bull CBBC Feb 2021 A       | 40,000,000   | 2020/04/02 | 2021/02/18 | 10.00          |
| 61311    | Haitong Int'l Sec - Tencent R Bull CBBC Oct 2020 L       | 40,000,000   | 2020/04/02 | 2020/10/20 | 10.00          |
| 61319    | Haitong Int'l Sec - Tencent R Bull CBBC Nov 2020 J       | 40,000,000   | 2020/04/02 | 2020/11/20 | 10.00          |

# 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 61892    | J P Morgan SP BV - Alibaba Group R Bull CBBC Aug 2020 F    | 80,000,000   | 2020/04/02 | 2020/08/14 | 20.00          |
| 61905    | J P Morgan SP BV - Alibaba Group R Bull CBBC Dec 2020 C    | 200,000,000  | 2020/04/02 | 2020/12/18 | 50.00          |
| 62150    | J P Morgan SP BV - Galaxy Ent R Bear CBBC Oct 2020 A       | 150,000,000  | 2020/04/02 | 2020/10/16 | 37.50          |
| 61929    | J P Morgan SP BV - HKEX R Bull CBBC Aug 2020 A             | 40,000,000   | 2020/04/02 | 2020/08/14 | 10.00          |
| 62151    | J P Morgan SP BV - HSCEI R Bull CBBC Dec 2021 I            | 200,000,000  | 2020/04/02 | 2021/12/30 | 50.00          |
| 62198    | J P Morgan SP BV - HSCEI R Bull CBBC Dec 2021 J            | 200,000,000  | 2020/04/02 | 2021/12/30 | 50.00          |
| 62249    | J P Morgan SP BV - HSCEI R Bear CBBC Dec 2020 B            | 200,000,000  | 2020/04/02 | 2020/12/30 | 50.00          |
| 61599    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 K              | 200,000,000  | 2020/04/02 | 2022/10/28 | 50.00          |
| 61616    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 L              | 200,000,000  | 2020/04/02 | 2022/10/28 | 66.00          |
| 61501    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 X              | 200,000,000  | 2020/04/02 | 2022/10/28 | 50.00          |
| 61543    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 Z              | 200,000,000  | 2020/04/02 | 2022/10/28 | 50.00          |
| 61554    | J P Morgan SP BV - HSI R Bull CBBC Nov 2022 R              | 200,000,000  | 2020/04/02 | 2022/11/29 | 50.00          |
| 61502    | J P Morgan SP BV - HSI R Bull CBBC Nov 2022 X              | 200,000,000  | 2020/04/02 | 2022/11/29 | 50.00          |
| 61601    | J P Morgan SP BV - HSI R Bull CBBC Nov 2022 Z              | 200,000,000  | 2020/04/02 | 2022/11/29 | 50.00          |
| 61521    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 B              | 200,000,000  | 2020/04/02 | 2022/12/29 | 50.00          |
| 61557    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 C              | 200,000,000  | 2020/04/02 | 2022/12/29 | 50.00          |
| 61676    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 M              | 200,000,000  | 2020/04/02 | 2022/12/29 | 80.00          |
| 61612    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 Q              | 200,000,000  | 2020/04/02 | 2022/12/29 | 50.00          |
| 61618    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 Z              | 200,000,000  | 2020/04/02 | 2022/12/29 | 72.00          |
| 61698    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 H              | 200,000,000  | 2020/04/02 | 2020/10/29 | 50.00          |
| 61731    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 C              | 200,000,000  | 2020/04/02 | 2020/11/27 | 50.00          |
| 61755    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 F              | 200,000,000  | 2020/04/02 | 2020/11/27 | 50.00          |
| 61772    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 I              | 200,000,000  | 2020/04/02 | 2020/11/27 | 50.00          |
| 61831    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 J              | 200,000,000  | 2020/04/02 | 2020/11/27 | 50.00          |
| 61879    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 K              | 200,000,000  | 2020/04/02 | 2020/11/27 | 52.00          |
| 61883    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 C              | 200,000,000  | 2020/04/02 | 2020/12/30 | 54.00          |
| 61770    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 F              | 200,000,000  | 2020/04/02 | 2020/12/30 | 50.00          |
| 61795    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 I              | 200,000,000  | 2020/04/02 | 2020/12/30 | 50.00          |
| 61833    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 J              | 200,000,000  | 2020/04/02 | 2020/12/30 | 50.00          |
| 61742    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 Z              | 200,000,000  | 2020/04/02 | 2020/12/30 | 50.00          |
| 61913    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Jul 2020 N | 80,000,000   | 2020/04/02 | 2020/07/17 | 20.00          |
| 61927    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Aug 2020 F | 80,000,000   | 2020/04/02 | 2020/08/21 | 20.00          |
| 61937    | J P Morgan SP BV - Ping An R Bull CBBC Sep 2020 A          | 100,000,000  | 2020/04/02 | 2020/09/11 | 25.00          |
| 61952    | J P Morgan SP BV - Tencent R Bull CBBC Jul 2020 Y          | 50,000,000   | 2020/04/02 | 2020/07/10 | 12.50          |
| 61985    | J P Morgan SP BV - Tencent R Bull CBBC Jul 2020 Z          | 50,000,000   | 2020/04/02 | 2020/07/17 | 12.50          |
| 62013    | J P Morgan SP BV - Tencent R Bull CBBC Sep 2020 A          | 200,000,000  | 2020/04/02 | 2020/09/11 | 50.00          |
| 62015    | J P Morgan SP BV - Tencent R Bull CBBC Sep 2020 B          | 200,000,000  | 2020/04/02 | 2020/09/18 | 50.00          |
| 62079    | J P Morgan SP BV - Xiaomi R Bull CBBC Aug 2020 D           | 80,000,000   | 2020/04/02 | 2020/08/14 | 20.00          |
| 62148    | J P Morgan SP BV - Xiaomi R Bull CBBC Sep 2020 A           | 80,000,000   | 2020/04/02 | 2020/09/11 | 20.00          |
| 60429    | Morgan Stanley Asia Products - HSI R Bull CBBC Dec 2022 F  | 150,000,000  | 2020/04/02 | 2022/12/29 | 37.50          |
| 62724    | SG Issuer - Alibaba Group R Bull CBBC Aug 2020 I           | 80,000,000   | 2020/04/02 | 2020/08/31 | 20.00          |
| 62937    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 A           | 200,000,000  | 2020/04/02 | 2020/11/30 | 50.00          |
| 62725    | SG Issuer - Geely Auto R Bull CBBC Sep 2020 D              | 40,000,000   | 2020/04/02 | 2020/09/28 | 10.00          |
| 62683    | SG Issuer - HSI R Bull CBBC Nov 2022 Q                     | 250,000,000  | 2020/04/02 | 2022/11/29 | 62.50          |
| 62696    | SG Issuer - HSI R Bull CBBC Nov 2022 R                     | 250,000,000  | 2020/04/02 | 2022/11/29 | 62.50          |

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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 62918    | SG Issuer - HSI R Bull CBBC Nov 2022 T                  | 250,000,000  | 2020/04/02 | 2022/11/29 | 62.50          |
| 62931    | SG Issuer - HSI R Bull CBBC Nov 2022 U                  | 250,000,000  | 2020/04/02 | 2022/11/29 | 62.50          |
| 62723    | SG Issuer - HSI R Bull CBBC Feb 2023 P                  | 250,000,000  | 2020/04/02 | 2023/02/27 | 62.50          |
| 62932    | SG Issuer - HSI R Bull CBBC Feb 2023 Q                  | 250,000,000  | 2020/04/02 | 2023/02/27 | 62.50          |
| 62933    | SG Issuer - HSI R Bull CBBC Feb 2023 R                  | 250,000,000  | 2020/04/02 | 2023/02/27 | 62.50          |
| 62814    | SG Issuer - HSI R Bear CBBC Aug 2020 D                  | 250,000,000  | 2020/04/02 | 2020/08/28 | 62.50          |
| 62856    | SG Issuer - HSI R Bear CBBC Aug 2020 H                  | 250,000,000  | 2020/04/02 | 2020/08/28 | 62.50          |
| 62891    | SG Issuer - HSI R Bear CBBC Aug 2020 L                  | 250,000,000  | 2020/04/02 | 2020/08/28 | 62.50          |
| 62899    | SG Issuer - HSI R Bear CBBC Aug 2020 V                  | 250,000,000  | 2020/04/02 | 2020/08/28 | 62.50          |
| 62909    | SG Issuer - HSI R Bear CBBC Aug 2020 W                  | 250,000,000  | 2020/04/02 | 2020/08/28 | 62.50          |
| 62772    | SG Issuer - Meituan Dianping R Bull CBBC Aug 2020 C     | 100,000,000  | 2020/04/02 | 2020/08/31 | 25.00          |
| 62788    | SG Issuer - Tencent R Bull CBBC Jul 2020 M              | 80,000,000   | 2020/04/02 | 2020/07/31 | 20.00          |
| 62813    | SG Issuer - Tencent R Bull CBBC Aug 2020 C              | 80,000,000   | 2020/04/02 | 2020/08/31 | 20.00          |
| 62808    | SG Issuer - Tencent R Bull CBBC Aug 2020 F              | 80,000,000   | 2020/04/02 | 2020/08/31 | 20.00          |
| 62663    | SG Issuer - Tencent R Bull CBBC Dec 2020 N              | 300,000,000  | 2020/04/02 | 2020/12/30 | 75.00          |
| 62615    | SG Issuer - Tencent R Bear CBBC Nov 2020 N              | 80,000,000   | 2020/04/02 | 2020/11/27 | 20.00          |
| 61088    | UBS AG - AAC Tech R Bear CBBC Dec 2020 A                | 80,000,000   | 2020/04/02 | 2020/12/31 | 20.00          |
| 60878    | UBS AG - Alibaba Group R Bull CBBC Nov 2020 J           | 80,000,000   | 2020/04/02 | 2020/11/23 | 20.00          |
| 61164    | UBS AG - CAM CSI300 R Bull CBBC Dec 2020 D              | 100,000,000  | 2020/04/02 | 2020/12/30 | 25.00          |
| 60895    | UBS AG - China Life R Bull CBBC Dec 2021 B              | 150,000,000  | 2020/04/02 | 2021/12/31 | 37.50          |
| 60908    | UBS AG - China Life R Bear CBBC Dec 2021 A              | 150,000,000  | 2020/04/02 | 2021/12/31 | 37.50          |
| 60445    | UBS AG - HSI R Bull CBBC Feb 2023 L                     | 200,000,000  | 2020/04/02 | 2023/02/27 | 50.00          |
| 60446    | UBS AG - HSI R Bull CBBC Feb 2023 M                     | 200,000,000  | 2020/04/02 | 2023/02/27 | 50.00          |
| 60449    | UBS AG - HSI R Bull CBBC Feb 2023 N                     | 200,000,000  | 2020/04/02 | 2023/02/27 | 50.00          |
| 60604    | UBS AG - HSI R Bull CBBC Feb 2023 O                     | 200,000,000  | 2020/04/02 | 2023/02/27 | 50.00          |
| 60679    | UBS AG - HSI R Bull CBBC Feb 2023 P                     | 200,000,000  | 2020/04/02 | 2023/02/27 | 50.00          |
| 60684    | UBS AG - HSI R Bull CBBC Feb 2023 Q                     | 200,000,000  | 2020/04/02 | 2023/02/27 | 50.00          |
| 60789    | UBS AG - HSI R Bull CBBC Feb 2023 R                     | 200,000,000  | 2020/04/02 | 2023/02/27 | 50.00          |
| 60797    | UBS AG - HSI R Bull CBBC Feb 2023 S                     | 200,000,000  | 2020/04/02 | 2023/02/27 | 50.00          |
| 60816    | UBS AG - HSI R Bull CBBC Feb 2023 T                     | 200,000,000  | 2020/04/02 | 2023/02/27 | 54.00          |
| 61010    | UBS AG - HSI R Bear CBBC Jul 2020 O                     | 200,000,000  | 2020/04/02 | 2020/07/30 | 50.00          |
| 60971    | UBS AG - HSI R Bear CBBC Sep 2020 X                     | 200,000,000  | 2020/04/02 | 2020/09/29 | 50.00          |
| 61026    | UBS AG - HSI R Bear CBBC Sep 2020 Z                     | 200,000,000  | 2020/04/02 | 2020/09/29 | 50.00          |
| 61064    | UBS AG - HSI R Bear CBBC Nov 2020 A                     | 200,000,000  | 2020/04/02 | 2020/11/27 | 50.00          |
| 60450    | UBS AG - HSI R Bear CBBC Dec 2020 T                     | 400,000,000  | 2020/04/02 | 2020/12/30 | 100.00         |
| 60973    | UBS AG - HSI R Bear CBBC Jan 2021 E                     | 400,000,000  | 2020/04/02 | 2021/01/28 | 100.00         |
| 60912    | UBS AG - Ping An R Bull CBBC Nov 2020 A                 | 100,000,000  | 2020/04/02 | 2020/11/23 | 25.00          |
| 60821    | UBS AG - Tencent R Bull CBBC Nov 2020 L                 | 40,000,000   | 2020/04/02 | 2020/11/23 | 10.00          |
| 60838    | UBS AG - Tencent R Bull CBBC Nov 2020 M                 | 40,000,000   | 2020/04/02 | 2020/11/24 | 10.00          |
| 61066    | UBS AG - WuXi Bio R Bull CBBC Dec 2020 A                | 30,000,000   | 2020/04/02 | 2020/12/31 | 10.20          |
| 61472    | Bank Vontobel - Alibaba Group R Bull CBBC Dec 2020 A    | 40,000,000   | 2020/04/02 | 2020/12/11 | 10.00          |
| 61425    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 H | 60,000,000   | 2020/04/02 | 2020/12/11 | 15.00          |
| 61476    | Bank Vontobel - Tencent R Bull CBBC Dec 2020 S          | 40,000,000   | 2020/04/02 | 2020/12/04 | 10.00          |
| 61490    | Bank Vontobel - Tencent R Bull CBBC Dec 2020 T          | 40,000,000   | 2020/04/02 | 2020/12/11 | 10.00          |
| 63775    | BOCI Asia Ltd. - China Mobile R Bull CBBC Oct 2020 G    | 40,000,000   | 2020/04/03 | 2020/10/30 | 10.00          |



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|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 63780    | BOCI Asia Ltd. - China Life R Bull CBBC Oct 2020 A          | 40,000,000   | 2020/04/03 | 2020/10/30 | 10.00          |
| 63784    | BOCI Asia Ltd. - China Life R Bear CBBC Oct 2020 A          | 40,000,000   | 2020/04/03 | 2020/10/30 | 10.00          |
| 63776    | BOCI Asia Ltd. - Galaxy Ent R Bull CBBC Oct 2020 H          | 100,000,000  | 2020/04/03 | 2020/10/30 | 25.00          |
| 63772    | BOCI Asia Ltd. - HKEX R Bull CBBC Sep 2020 I                | 40,000,000   | 2020/04/03 | 2020/09/29 | 10.00          |
| 63626    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 P                 | 150,000,000  | 2020/04/03 | 2022/11/29 | 37.50          |
| 63637    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 Q                 | 150,000,000  | 2020/04/03 | 2022/11/29 | 37.50          |
| 63643    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 R                 | 150,000,000  | 2020/04/03 | 2022/11/29 | 37.50          |
| 63676    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 S                 | 200,000,000  | 2020/04/03 | 2022/11/29 | 50.00          |
| 63701    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 L                 | 150,000,000  | 2020/04/03 | 2020/10/29 | 37.50          |
| 63705    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 M                 | 150,000,000  | 2020/04/03 | 2020/10/29 | 37.50          |
| 63749    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 N                 | 150,000,000  | 2020/04/03 | 2020/10/29 | 37.50          |
| 63751    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 O                 | 150,000,000  | 2020/04/03 | 2020/10/29 | 37.50          |
| 63787    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 K             | 40,000,000   | 2020/04/03 | 2020/10/30 | 10.00          |
| 63797    | BOCI Asia Ltd. - Tencent R Bear CBBC Oct 2020 H             | 40,000,000   | 2020/04/03 | 2020/10/30 | 10.00          |
| 63619    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 F      | 150,000,000  | 2020/04/03 | 2022/12/29 | 37.50          |
| 64068    | Credit Suisse AG - Alibaba Group R Bull CBBC Jul 2020 J     | 50,000,000   | 2020/04/03 | 2020/07/30 | 12.50          |
| 64059    | Credit Suisse AG - China Mobile R Bull CBBC Oct 2020 C      | 50,000,000   | 2020/04/03 | 2020/10/29 | 12.50          |
| 64041    | Credit Suisse AG - HSBC R Bull CBBC Dec 2020 F              | 70,000,000   | 2020/04/03 | 2020/12/30 | 17.50          |
| 64004    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 M               | 200,000,000  | 2020/04/03 | 2022/09/29 | 50.00          |
| 64010    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 N               | 200,000,000  | 2020/04/03 | 2022/09/29 | 50.00          |
| 64019    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 O               | 200,000,000  | 2020/04/03 | 2022/09/29 | 50.00          |
| 64002    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 N               | 200,000,000  | 2020/04/03 | 2022/11/29 | 50.00          |
| 64009    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 R               | 300,000,000  | 2020/04/03 | 2022/12/29 | 75.00          |
| 63942    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 G               | 200,000,000  | 2020/04/03 | 2020/11/27 | 50.00          |
| 63961    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 M               | 200,000,000  | 2020/04/03 | 2020/11/27 | 50.00          |
| 63999    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 Z               | 200,000,000  | 2020/04/03 | 2020/12/30 | 50.00          |
| 63990    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 H               | 300,000,000  | 2020/04/03 | 2021/01/28 | 75.00          |
| 64328    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Sep 2020 F    | 60,000,000   | 2020/04/03 | 2020/09/28 | 15.00          |
| 64339    | Goldman Sachs SP (Asia) - China Life R Bull CBBC Mar 2021 A | 80,000,000   | 2020/04/03 | 2021/03/01 | 20.00          |
| 64344    | Goldman Sachs SP (Asia) - Galaxy Ent R Bull CBBC Mar 2021 A | 80,000,000   | 2020/04/03 | 2021/03/01 | 20.00          |
| 64305    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 G        | 160,000,000  | 2020/04/03 | 2022/11/29 | 40.00          |
| 64307    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 P        | 160,000,000  | 2020/04/03 | 2022/11/29 | 40.00          |
| 64308    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 R        | 160,000,000  | 2020/04/03 | 2022/11/29 | 40.00          |
| 64312    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 S        | 160,000,000  | 2020/04/03 | 2022/11/29 | 40.00          |
| 64316    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 T        | 160,000,000  | 2020/04/03 | 2022/11/29 | 40.00          |
| 64317    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 X        | 160,000,000  | 2020/04/03 | 2022/11/29 | 40.00          |
| 64321    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 T        | 200,000,000  | 2020/04/03 | 2022/12/29 | 50.00          |
| 64322    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 Y        | 200,000,000  | 2020/04/03 | 2022/12/29 | 50.00          |
| 64355    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 L        | 160,000,000  | 2020/04/03 | 2020/11/27 | 40.00          |
| 64294    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 A        | 160,000,000  | 2020/04/03 | 2021/01/28 | 40.00          |
| 64326    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 B        | 160,000,000  | 2020/04/03 | 2021/01/28 | 40.00          |
| 64458    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 C        | 160,000,000  | 2020/04/03 | 2021/01/28 | 40.00          |
| 64467    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 D        | 160,000,000  | 2020/04/03 | 2021/01/28 | 40.00          |
| 64478    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 E        | 160,000,000  | 2020/04/03 | 2021/01/28 | 40.00          |
| 64286    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 U        | 160,000,000  | 2020/04/03 | 2021/02/25 | 40.00          |

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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 64299    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 V      | 160,000,000  | 2020/04/03 | 2021/02/25 | 40.00          |
| 64376    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 W      | 160,000,000  | 2020/04/03 | 2021/02/25 | 40.00          |
| 64389    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 X      | 160,000,000  | 2020/04/03 | 2021/02/25 | 40.00          |
| 64396    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 Y      | 160,000,000  | 2020/04/03 | 2021/02/25 | 40.00          |
| 64329    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Aug 2020 I  | 60,000,000   | 2020/04/03 | 2020/08/28 | 15.00          |
| 64331    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Aug 2020 J  | 60,000,000   | 2020/04/03 | 2020/08/28 | 15.00          |
| 64351    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Aug 2020 K  | 60,000,000   | 2020/04/03 | 2020/08/28 | 15.54          |
| 64337    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Mar 2021 G  | 60,000,000   | 2020/04/03 | 2021/03/01 | 15.00          |
| 63497    | HK Bank - Bud Apac R Bull CBBC Nov 2020 A                 | 40,000,000   | 2020/04/03 | 2020/11/02 | 10.00          |
| 63513    | HK Bank - China Res Land R Bull CBBC Aug 2020 B           | 40,000,000   | 2020/04/03 | 2020/08/17 | 10.00          |
| 63535    | HK Bank - Galaxy Ent R Bear CBBC Aug 2020 A               | 40,000,000   | 2020/04/03 | 2020/08/10 | 10.00          |
| 63369    | HK Bank - HSI R Bull CBBC Sep 2022 R                      | 100,000,000  | 2020/04/03 | 2022/09/29 | 25.00          |
| 63351    | HK Bank - HSI R Bear CBBC Sep 2020 K                      | 100,000,000  | 2020/04/03 | 2020/09/29 | 25.00          |
| 63471    | HK Bank - HSI R Bear CBBC Sep 2020 L                      | 80,000,000   | 2020/04/03 | 2020/09/29 | 20.00          |
| 63586    | HK Bank - Ping An R Bull CBBC Nov 2020 B                  | 60,000,000   | 2020/04/03 | 2020/11/02 | 15.00          |
| 63547    | HK Bank - SUNAC R Bull CBBC Sep 2020 D                    | 40,000,000   | 2020/04/03 | 2020/09/28 | 10.00          |
| 63399    | HK Bank - Tencent R Bull CBBC Aug 2020 F                  | 40,000,000   | 2020/04/03 | 2020/08/20 | 10.00          |
| 63462    | HK Bank - Tencent R Bull CBBC Sep 2020 E                  | 100,000,000  | 2020/04/03 | 2020/09/07 | 25.00          |
| 63474    | HK Bank - Tencent R Bear CBBC Aug 2020 R                  | 40,000,000   | 2020/04/03 | 2020/08/13 | 10.00          |
| 63580    | HK Bank - WuXi Bio R Bull CBBC Aug 2020 B                 | 40,000,000   | 2020/04/03 | 2020/08/10 | 10.00          |
| 63423    | HK Bank - Xiaomi R Bull CBBC Sep 2020 B                   | 60,000,000   | 2020/04/03 | 2020/09/21 | 15.00          |
| 64118    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 R            | 150,000,000  | 2020/04/03 | 2022/11/29 | 37.50          |
| 64111    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 W            | 150,000,000  | 2020/04/03 | 2022/12/29 | 37.50          |
| 64086    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 Q            | 150,000,000  | 2020/04/03 | 2020/10/29 | 37.50          |
| 64105    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 C            | 150,000,000  | 2020/04/03 | 2020/12/30 | 37.50          |
| 64120    | Haitong Int'l Sec - Tencent R Bull CBBC Dec 2020 A        | 40,000,000   | 2020/04/03 | 2020/12/22 | 10.00          |
| 63813    | Morgan Stanley Asia Products - HSI R Bull CBBC Dec 2022 I | 150,000,000  | 2020/04/03 | 2022/12/29 | 37.50          |
| 63816    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 D | 150,000,000  | 2020/04/03 | 2023/01/30 | 37.50          |
| 63303    | Morgan Stanley Asia Products - HSI R Bear CBBC Jul 2020 G | 150,000,000  | 2020/04/03 | 2020/07/30 | 37.50          |
| 63345    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 M | 150,000,000  | 2020/04/03 | 2020/08/28 | 37.50          |
| 63316    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 G | 150,000,000  | 2020/04/03 | 2020/09/29 | 37.50          |
| 63343    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 H | 200,000,000  | 2020/04/03 | 2020/09/29 | 50.00          |
| 64181    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 O          | 80,000,000   | 2020/04/03 | 2020/09/30 | 20.00          |
| 64129    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 O          | 80,000,000   | 2020/04/03 | 2020/12/30 | 20.00          |
| 64186    | SG Issuer - CSPC Pharma R Bull CBBC Dec 2020 C            | 150,000,000  | 2020/04/03 | 2020/12/30 | 37.50          |
| 64195    | SG Issuer - Galaxy Ent R Bear CBBC Oct 2020 G             | 100,000,000  | 2020/04/03 | 2020/10/29 | 25.00          |
| 64134    | SG Issuer - HKEX R Bear CBBC Dec 2020 B                   | 200,000,000  | 2020/04/03 | 2020/12/30 | 50.00          |
| 64232    | SG Issuer - HSCEI R Bull CBBC Dec 2021 B                  | 100,000,000  | 2020/04/03 | 2021/12/30 | 25.00          |
| 64240    | SG Issuer - HSCEI R Bull CBBC Dec 2021 C                  | 100,000,000  | 2020/04/03 | 2021/12/30 | 25.00          |
| 64228    | SG Issuer - HSCEI R Bear CBBC Aug 2020 A                  | 100,000,000  | 2020/04/03 | 2020/08/28 | 25.00          |
| 64230    | SG Issuer - HSCEI R Bear CBBC Dec 2020 A                  | 100,000,000  | 2020/04/03 | 2020/12/30 | 25.00          |
| 64241    | SG Issuer - HSI R Bull CBBC Nov 2022 W                    | 250,000,000  | 2020/04/03 | 2022/11/29 | 62.50          |
| 64259    | SG Issuer - HSI R Bull CBBC Jan 2023 T                    | 250,000,000  | 2020/04/03 | 2023/01/30 | 62.50          |
| 64267    | SG Issuer - HSI R Bull CBBC Jan 2023 U                    | 250,000,000  | 2020/04/03 | 2023/01/30 | 62.50          |
| 64279    | SG Issuer - HSI R Bull CBBC Jan 2023 V                    | 250,000,000  | 2020/04/03 | 2023/01/30 | 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 64281    | SG Issuer - HSI R Bull CBBC Jan 2023 W                  | 250,000,000  | 2020/04/03 | 2023/01/30 | 62.50          |
| 64161    | SG Issuer - HSI R Bear CBBC Jul 2020 D                  | 250,000,000  | 2020/04/03 | 2020/07/30 | 62.50          |
| 64165    | SG Issuer - HSI R Bear CBBC Jul 2020 M                  | 250,000,000  | 2020/04/03 | 2020/07/30 | 62.50          |
| 64177    | SG Issuer - HSI R Bear CBBC Jul 2020 O                  | 250,000,000  | 2020/04/03 | 2020/07/30 | 62.50          |
| 64256    | SG Issuer - HSI R Bear CBBC Aug 2020 X                  | 250,000,000  | 2020/04/03 | 2020/08/28 | 62.50          |
| 64180    | SG Issuer - HSI R Bear CBBC Dec 2020 J                  | 500,000,000  | 2020/04/03 | 2020/12/30 | 125.00         |
| 64216    | SG Issuer - Meituan Dianping R Bull CBBC Oct 2020 H     | 100,000,000  | 2020/04/03 | 2020/10/30 | 25.00          |
| 64136    | SG Issuer - Ping An R Bull CBBC Dec 2020 V              | 100,000,000  | 2020/04/03 | 2020/12/30 | 25.00          |
| 64138    | SG Issuer - SHK Ppt R Bull CBBC Dec 2020 D              | 100,000,000  | 2020/04/03 | 2020/12/30 | 25.00          |
| 64222    | SG Issuer - Tencent R Bull CBBC Aug 2020 D              | 80,000,000   | 2020/04/03 | 2020/08/31 | 20.00          |
| 64224    | SG Issuer - Tencent R Bull CBBC Sep 2020 W              | 80,000,000   | 2020/04/03 | 2020/09/30 | 20.00          |
| 64139    | SG Issuer - Tencent R Bear CBBC Nov 2020 K              | 80,000,000   | 2020/04/03 | 2020/11/27 | 20.00          |
| 64159    | SG Issuer - Tencent R Bear CBBC Dec 2020 R              | 80,000,000   | 2020/04/03 | 2020/12/30 | 20.00          |
| 63935    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 O           | 80,000,000   | 2020/04/03 | 2020/12/07 | 20.00          |
| 63852    | UBS AG - HSI R Bull CBBC Feb 2023 U                     | 200,000,000  | 2020/04/03 | 2023/02/27 | 50.00          |
| 63860    | UBS AG - HSI R Bull CBBC Feb 2023 V                     | 200,000,000  | 2020/04/03 | 2023/02/27 | 50.00          |
| 63874    | UBS AG - HSI R Bull CBBC Feb 2023 W                     | 200,000,000  | 2020/04/03 | 2023/02/27 | 50.00          |
| 63876    | UBS AG - HSI R Bull CBBC Feb 2023 X                     | 200,000,000  | 2020/04/03 | 2023/02/27 | 50.00          |
| 63886    | UBS AG - HSI R Bull CBBC Feb 2023 Y                     | 200,000,000  | 2020/04/03 | 2023/02/27 | 50.00          |
| 63818    | UBS AG - HSI R Bear CBBC Jul 2020 P                     | 200,000,000  | 2020/04/03 | 2020/07/30 | 50.00          |
| 63825    | UBS AG - HSI R Bear CBBC Oct 2020 M                     | 200,000,000  | 2020/04/03 | 2020/10/29 | 50.00          |
| 63851    | UBS AG - HSI R Bear CBBC Oct 2020 N                     | 200,000,000  | 2020/04/03 | 2020/10/29 | 50.00          |
| 63918    | UBS AG - HSI R Bear CBBC Nov 2020 B                     | 200,000,000  | 2020/04/03 | 2020/11/27 | 50.00          |
| 63891    | UBS AG - HSI R Bear CBBC Nov 2020 D                     | 200,000,000  | 2020/04/03 | 2020/11/27 | 50.00          |
| 63894    | UBS AG - HSI R Bear CBBC Nov 2020 G                     | 200,000,000  | 2020/04/03 | 2020/11/27 | 50.00          |
| 63881    | UBS AG - Tencent R Bull CBBC Nov 2020 N                 | 40,000,000   | 2020/04/03 | 2020/11/24 | 10.00          |
| 63929    | UBS AG - Tencent R Bear CBBC Dec 2020 V                 | 40,000,000   | 2020/04/03 | 2020/12/21 | 10.00          |
| 64075    | Bank Vontobel - CSPC Pharma R Bull CBBC Nov 2020 E      | 40,000,000   | 2020/04/03 | 2020/11/20 | 11.60          |
| 64070    | Bank Vontobel - HKEX R Bull CBBC Dec 2020 D             | 40,000,000   | 2020/04/03 | 2020/12/18 | 10.00          |
| 64071    | Bank Vontobel - HKEX R Bull CBBC Dec 2020 E             | 40,000,000   | 2020/04/03 | 2020/12/04 | 12.40          |
| 64080    | Bank Vontobel - SUNAC R Bull CBBC Dec 2020 H            | 40,000,000   | 2020/04/03 | 2020/12/11 | 10.00          |
| 64069    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 K          | 80,000,000   | 2020/04/03 | 2020/12/04 | 20.00          |
| 64077    | Bank Vontobel - Xiaomi R Bull CBBC Dec 2020 P           | 40,000,000   | 2020/04/03 | 2020/12/04 | 10.00          |
| 64496    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 T             | 150,000,000  | 2020/04/06 | 2022/11/29 | 37.50          |
| 64499    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 U             | 150,000,000  | 2020/04/06 | 2022/11/29 | 37.50          |
| 64511    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 V             | 150,000,000  | 2020/04/06 | 2022/11/29 | 37.50          |
| 64758    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 W             | 150,000,000  | 2020/04/06 | 2022/11/29 | 37.50          |
| 64761    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 X             | 150,000,000  | 2020/04/06 | 2022/11/29 | 37.50          |
| 64764    | BOCI Asia Ltd. - HSI R Bull CBBC Nov 2022 Y             | 150,000,000  | 2020/04/06 | 2022/11/29 | 37.50          |
| 64567    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 P             | 200,000,000  | 2020/04/06 | 2020/10/29 | 50.00          |
| 64568    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 Q             | 150,000,000  | 2020/04/06 | 2020/10/29 | 37.50          |
| 64570    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 R             | 150,000,000  | 2020/04/06 | 2020/10/29 | 37.50          |
| 64514    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 L         | 40,000,000   | 2020/04/06 | 2020/10/30 | 10.40          |
| 64516    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 M         | 40,000,000   | 2020/04/06 | 2020/10/30 | 10.00          |
| 64719    | Credit Suisse AG - Alibaba Group R Bull CBBC Sep 2020 E | 80,000,000   | 2020/04/06 | 2020/09/29 | 20.00          |

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|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 64706    | Credit Suisse AG - Galaxy Ent R Bear CBBC Sep 2020 C     | 100,000,000  | 2020/04/06 | 2020/09/29 | 25.00          |
| 64703    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 P            | 200,000,000  | 2020/04/06 | 2022/09/29 | 50.00          |
| 64667    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 E            | 200,000,000  | 2020/04/06 | 2022/10/28 | 50.00          |
| 64668    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 F            | 200,000,000  | 2020/04/06 | 2022/10/28 | 50.00          |
| 64673    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 A            | 200,000,000  | 2020/04/06 | 2022/11/29 | 50.00          |
| 64701    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 Y            | 300,000,000  | 2020/04/06 | 2022/12/29 | 75.00          |
| 64755    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 D            | 200,000,000  | 2020/04/06 | 2020/10/29 | 50.00          |
| 64722    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Z            | 200,000,000  | 2020/04/06 | 2020/10/29 | 50.00          |
| 64748    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 O            | 200,000,000  | 2020/04/06 | 2020/11/27 | 50.00          |
| 64749    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 Q            | 200,000,000  | 2020/04/06 | 2020/11/27 | 50.00          |
| 64739    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 I            | 300,000,000  | 2020/04/06 | 2021/01/28 | 75.00          |
| 64712    | Credit Suisse AG - Tencent R Bull CBBC Aug 2020 C        | 50,000,000   | 2020/04/06 | 2020/08/28 | 12.50          |
| 64718    | Credit Suisse AG - Tencent R Bear CBBC Aug 2020 F        | 50,000,000   | 2020/04/06 | 2020/08/28 | 12.50          |
| 65210    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Sep 2020 G | 60,000,000   | 2020/04/06 | 2020/09/28 | 15.00          |
| 65280    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 D     | 160,000,000  | 2020/04/06 | 2022/12/29 | 40.00          |
| 65203    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 U     | 160,000,000  | 2020/04/06 | 2022/12/29 | 40.00          |
| 65252    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 F     | 160,000,000  | 2020/04/06 | 2021/01/28 | 40.00          |
| 65262    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 G     | 160,000,000  | 2020/04/06 | 2021/01/28 | 40.00          |
| 65263    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 H     | 160,000,000  | 2020/04/06 | 2021/01/28 | 40.00          |
| 65274    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 I     | 160,000,000  | 2020/04/06 | 2021/01/28 | 40.00          |
| 65276    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 J     | 160,000,000  | 2020/04/06 | 2021/01/28 | 40.16          |
| 65200    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 Z     | 160,000,000  | 2020/04/06 | 2021/02/25 | 41.12          |
| 65215    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Aug 2020 L | 60,000,000   | 2020/04/06 | 2020/08/28 | 15.00          |
| 65218    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Aug 2020 M | 60,000,000   | 2020/04/06 | 2020/08/28 | 15.00          |
| 65251    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Aug 2020 N | 60,000,000   | 2020/04/06 | 2020/08/28 | 16.86          |
| 65225    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Mar 2021 H | 60,000,000   | 2020/04/06 | 2021/03/01 | 15.00          |
| 64522    | HK Bank - Alibaba Group R Bull CBBC Aug 2020 K           | 40,000,000   | 2020/04/06 | 2020/08/17 | 10.00          |
| 64483    | HK Bank - HSI R Bull CBBC Sep 2022 Z                     | 100,000,000  | 2020/04/06 | 2022/09/29 | 25.00          |
| 64545    | HK Bank - HSI R Bear CBBC Sep 2020 M                     | 100,000,000  | 2020/04/06 | 2020/09/29 | 25.00          |
| 64486    | HK Bank - Tencent R Bull CBBC Aug 2020 E                 | 40,000,000   | 2020/04/06 | 2020/08/27 | 10.00          |
| 64562    | HK Bank - Tracker Fund R Bull CBBC Sep 2020 A            | 40,000,000   | 2020/04/06 | 2020/09/28 | 10.00          |
| 64558    | HK Bank - Tracker Fund R Bull CBBC Dec 2020 A            | 40,000,000   | 2020/04/06 | 2020/12/14 | 10.00          |
| 64561    | HK Bank - Xiaomi R Bear CBBC Aug 2020 A                  | 40,000,000   | 2020/04/06 | 2020/08/10 | 10.00          |
| 64659    | Haitong Int'l Sec - AIA R Bull CBBC Nov 2020 C           | 40,000,000   | 2020/04/06 | 2020/11/10 | 10.00          |
| 64666    | Haitong Int'l Sec - CNOOC R Bull CBBC Nov 2020 A         | 40,000,000   | 2020/04/06 | 2020/11/10 | 10.00          |
| 64588    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 S           | 150,000,000  | 2020/04/06 | 2022/11/29 | 37.50          |
| 64581    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 M           | 150,000,000  | 2020/04/06 | 2022/12/29 | 37.50          |
| 64639    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 N           | 150,000,000  | 2020/04/06 | 2020/11/27 | 37.50          |
| 64658    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 C           | 150,000,000  | 2020/04/06 | 2021/01/28 | 37.50          |
| 64589    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 J       | 40,000,000   | 2020/04/06 | 2020/11/24 | 10.00          |
| 64595    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 K       | 40,000,000   | 2020/04/06 | 2020/11/24 | 10.00          |
| 64903    | SG Issuer - AIA R Bear CBBC Aug 2020 A                   | 60,000,000   | 2020/04/06 | 2020/08/04 | 15.00          |
| 64852    | SG Issuer - Alibaba Group R Bull CBBC Jul 2020 U         | 80,000,000   | 2020/04/06 | 2020/07/31 | 20.00          |
| 64876    | SG Issuer - Bud Apac R Bull CBBC Dec 2020 C              | 80,000,000   | 2020/04/06 | 2020/12/30 | 20.00          |
| 64904    | SG Issuer - CC Bank R Bull CBBC Aug 2021 A               | 100,000,000  | 2020/04/06 | 2021/08/05 | 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 64880    | SG Issuer - Galaxy Ent R Bull CBBC Nov 2020 D           | 100,000,000  | 2020/04/06 | 2020/11/30 | 25.00          |
| 64978    | SG Issuer - HSI R Bull CBBC Oct 2022 B                  | 250,000,000  | 2020/04/06 | 2022/10/28 | 62.50          |
| 64920    | SG Issuer - HSI R Bull CBBC Oct 2022 Z                  | 250,000,000  | 2020/04/06 | 2022/10/28 | 62.50          |
| 64825    | SG Issuer - HSI R Bull CBBC Nov 2022 D                  | 250,000,000  | 2020/04/06 | 2022/11/29 | 62.50          |
| 64925    | SG Issuer - HSI R Bull CBBC Dec 2022 S                  | 250,000,000  | 2020/04/06 | 2022/12/29 | 62.50          |
| 64988    | SG Issuer - HSI R Bull CBBC Dec 2022 V                  | 250,000,000  | 2020/04/06 | 2022/12/29 | 62.50          |
| 64847    | SG Issuer - HSI R Bull CBBC Jan 2023 X                  | 250,000,000  | 2020/04/06 | 2023/01/30 | 62.50          |
| 64933    | SG Issuer - HSI R Bear CBBC Oct 2020 B                  | 250,000,000  | 2020/04/06 | 2020/10/29 | 62.50          |
| 64941    | SG Issuer - HSI R Bear CBBC Oct 2020 E                  | 250,000,000  | 2020/04/06 | 2020/10/29 | 62.50          |
| 64966    | SG Issuer - HSI R Bear CBBC Oct 2020 F                  | 250,000,000  | 2020/04/06 | 2020/10/29 | 62.50          |
| 64973    | SG Issuer - HSI R Bear CBBC Nov 2020 L                  | 250,000,000  | 2020/04/06 | 2020/11/27 | 62.50          |
| 64917    | SG Issuer - HSI R Bear CBBC Jan 2021 S                  | 500,000,000  | 2020/04/06 | 2021/01/28 | 125.00         |
| 64890    | SG Issuer - Tencent R Bull CBBC Jul 2020 O              | 80,000,000   | 2020/04/06 | 2020/07/31 | 20.00          |
| 64892    | SG Issuer - Tencent R Bull CBBC Aug 2020 B              | 80,000,000   | 2020/04/06 | 2020/08/31 | 20.00          |
| 64915    | SG Issuer - Tencent R Bear CBBC Dec 2020 S              | 80,000,000   | 2020/04/06 | 2020/12/30 | 20.00          |
| 65065    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 P           | 80,000,000   | 2020/04/06 | 2020/12/07 | 20.00          |
| 65064    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 P           | 80,000,000   | 2020/04/06 | 2020/12/09 | 20.00          |
| 65087    | UBS AG - Geely Auto R Bull CBBC Dec 2020 D              | 40,000,000   | 2020/04/06 | 2020/12/30 | 10.00          |
| 65089    | UBS AG - Geely Auto R Bear CBBC Dec 2020 B              | 40,000,000   | 2020/04/06 | 2020/12/30 | 10.00          |
| 65194    | UBS AG - Galaxy Ent R Bear CBBC Dec 2020 C              | 60,000,000   | 2020/04/06 | 2020/12/08 | 15.00          |
| 65101    | UBS AG - HSI R Bull CBBC Jan 2023 A                     | 200,000,000  | 2020/04/06 | 2023/01/30 | 50.00          |
| 65103    | UBS AG - HSI R Bull CBBC Jan 2023 B                     | 200,000,000  | 2020/04/06 | 2023/01/30 | 50.00          |
| 65108    | UBS AG - HSI R Bull CBBC Jan 2023 C                     | 200,000,000  | 2020/04/06 | 2023/01/30 | 50.00          |
| 65119    | UBS AG - HSI R Bull CBBC Jan 2023 D                     | 200,000,000  | 2020/04/06 | 2023/01/30 | 50.00          |
| 65120    | UBS AG - HSI R Bull CBBC Jan 2023 E                     | 200,000,000  | 2020/04/06 | 2023/01/30 | 50.00          |
| 64997    | UBS AG - HSI R Bull CBBC Jan 2023 U                     | 200,000,000  | 2020/04/06 | 2023/01/30 | 50.00          |
| 65097    | UBS AG - HSI R Bull CBBC Jan 2023 V                     | 200,000,000  | 2020/04/06 | 2023/01/30 | 50.00          |
| 65139    | UBS AG - HSI R Bull CBBC Jan 2023 W                     | 200,000,000  | 2020/04/06 | 2023/01/30 | 50.00          |
| 65175    | UBS AG - HSI R Bear CBBC Jul 2020 Q                     | 200,000,000  | 2020/04/06 | 2020/07/30 | 50.00          |
| 65184    | UBS AG - HSI R Bear CBBC Jul 2020 S                     | 200,000,000  | 2020/04/06 | 2020/07/30 | 50.00          |
| 64989    | UBS AG - HSI R Bear CBBC Oct 2020 O                     | 200,000,000  | 2020/04/06 | 2020/10/29 | 50.00          |
| 65167    | UBS AG - HSI R Bear CBBC Oct 2020 P                     | 200,000,000  | 2020/04/06 | 2020/10/29 | 50.00          |
| 65186    | UBS AG - HSI R Bear CBBC Oct 2020 Q                     | 200,000,000  | 2020/04/06 | 2020/10/29 | 50.00          |
| 65148    | UBS AG - HSI R Bear CBBC Nov 2020 H                     | 200,000,000  | 2020/04/06 | 2020/11/27 | 50.00          |
| 65176    | UBS AG - HSI R Bear CBBC Nov 2020 I                     | 200,000,000  | 2020/04/06 | 2020/11/27 | 50.00          |
| 65160    | UBS AG - HSI R Bear CBBC Dec 2020 U                     | 200,000,000  | 2020/04/06 | 2020/12/30 | 50.00          |
| 65076    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 H        | 50,000,000   | 2020/04/06 | 2020/12/07 | 12.50          |
| 65189    | UBS AG - Tencent R Bull CBBC Dec 2020 Y                 | 40,000,000   | 2020/04/06 | 2020/12/10 | 10.00          |
| 65048    | UBS AG - Tencent R Bear CBBC Dec 2020 W                 | 40,000,000   | 2020/04/06 | 2020/12/08 | 10.00          |
| 65056    | UBS AG - Tencent R Bear CBBC Dec 2020 X                 | 200,000,000  | 2020/04/06 | 2020/12/14 | 50.00          |
| 64765    | Bank Vontobel - Galaxy Ent R Bear CBBC Dec 2020 D       | 40,000,000   | 2020/04/06 | 2020/12/04 | 10.00          |
| 64801    | Bank Vontobel - HSBC R Bear CBBC Dec 2020 E             | 40,000,000   | 2020/04/06 | 2020/12/04 | 10.00          |
| 64771    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 L | 60,000,000   | 2020/04/06 | 2020/12/18 | 15.00          |
| 64777    | Bank Vontobel - Meituan Dianping R Bear CBBC Dec 2020 O | 60,000,000   | 2020/04/06 | 2020/12/11 | 15.00          |
| 64804    | Bank Vontobel - SHK Ppt R Bull CBBC Dec 2020 D          | 40,000,000   | 2020/04/06 | 2020/12/04 | 10.00          |

# 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 64794    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 L           | 80,000,000   | 2020/04/06 | 2020/12/18 | 20.00          |
| 65292    | BOCI Asia Ltd. - AIA R Bear CBBC Sep 2020 C              | 60,000,000   | 2020/04/07 | 2020/09/29 | 15.00          |
| 65314    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Sep 2020 Q    | 60,000,000   | 2020/04/07 | 2020/09/30 | 15.00          |
| 65318    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Sep 2020 R    | 60,000,000   | 2020/04/07 | 2020/09/30 | 15.00          |
| 65328    | BOCI Asia Ltd. - CNOOC R Bull CBBC Dec 2020 A            | 40,000,000   | 2020/04/07 | 2020/12/31 | 10.00          |
| 65322    | BOCI Asia Ltd. - Geely Auto R Bull CBBC Dec 2020 A       | 40,000,000   | 2020/04/07 | 2020/12/31 | 10.00          |
| 65355    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 A              | 150,000,000  | 2020/04/07 | 2022/12/29 | 37.50          |
| 65357    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 B              | 150,000,000  | 2020/04/07 | 2022/12/29 | 37.50          |
| 65358    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 C              | 150,000,000  | 2020/04/07 | 2022/12/29 | 37.50          |
| 65373    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 S              | 150,000,000  | 2020/04/07 | 2020/10/29 | 37.50          |
| 65380    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 T              | 150,000,000  | 2020/04/07 | 2020/10/29 | 37.50          |
| 65382    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 U              | 200,000,000  | 2020/04/07 | 2020/10/29 | 50.00          |
| 65299    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 K | 40,000,000   | 2020/04/07 | 2020/12/30 | 10.00          |
| 65384    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 G | 40,000,000   | 2020/04/07 | 2020/12/30 | 10.00          |
| 65319    | BOCI Asia Ltd. - SHK Ppt R Bull CBBC Dec 2020 A          | 40,000,000   | 2020/04/07 | 2020/12/31 | 10.00          |
| 65339    | BOCI Asia Ltd. - SUNAC R Bull CBBC Dec 2020 A            | 40,000,000   | 2020/04/07 | 2020/12/31 | 10.00          |
| 65288    | BOCI Asia Ltd. - Tencent R Bear CBBC Oct 2020 I          | 40,000,000   | 2020/04/07 | 2020/10/30 | 10.00          |
| 65459    | Credit Suisse AG - AIA R Bull CBBC Oct 2020 D            | 70,000,000   | 2020/04/07 | 2020/10/29 | 17.50          |
| 65515    | Credit Suisse AG - CSPC Pharma R Bull CBBC Jan 2021 A    | 100,000,000  | 2020/04/07 | 2021/01/28 | 25.00          |
| 65477    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 Q            | 200,000,000  | 2020/04/07 | 2022/09/29 | 50.00          |
| 65478    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 R            | 200,000,000  | 2020/04/07 | 2022/09/29 | 50.00          |
| 65488    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 S            | 200,000,000  | 2020/04/07 | 2022/09/29 | 50.00          |
| 65449    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 E            | 200,000,000  | 2020/04/07 | 2020/10/29 | 50.00          |
| 65458    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 G            | 200,000,000  | 2020/04/07 | 2020/10/29 | 50.00          |
| 65434    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 H            | 200,000,000  | 2020/04/07 | 2020/11/27 | 50.00          |
| 65471    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 R            | 200,000,000  | 2020/04/07 | 2020/11/27 | 50.00          |
| 65512    | Credit Suisse AG - Link REIT R Bull CBBC Dec 2020 D      | 50,000,000   | 2020/04/07 | 2020/12/30 | 12.50          |
| 65462    | Credit Suisse AG - Ping An R Bear CBBC Jul 2020 F        | 80,000,000   | 2020/04/07 | 2020/07/30 | 20.00          |
| 65742    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Sep 2020 H | 60,000,000   | 2020/04/07 | 2020/09/28 | 15.00          |
| 65798    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Dec 2020 E    | 80,000,000   | 2020/04/07 | 2020/12/30 | 20.00          |
| 65876    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 B     | 160,000,000  | 2020/04/07 | 2022/12/29 | 40.00          |
| 65737    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 H     | 160,000,000  | 2020/04/07 | 2022/12/29 | 40.00          |
| 65868    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 R     | 160,000,000  | 2020/04/07 | 2022/12/29 | 40.00          |
| 65872    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 V     | 160,000,000  | 2020/04/07 | 2022/12/29 | 40.00          |
| 65874    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 Z     | 160,000,000  | 2020/04/07 | 2022/12/29 | 40.00          |
| 65730    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 K     | 160,000,000  | 2020/04/07 | 2021/01/28 | 40.00          |
| 65732    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 L     | 160,000,000  | 2020/04/07 | 2021/01/28 | 40.00          |
| 65843    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 M     | 160,000,000  | 2020/04/07 | 2021/01/28 | 40.00          |
| 65846    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 N     | 160,000,000  | 2020/04/07 | 2021/01/28 | 40.00          |
| 65852    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 O     | 160,000,000  | 2020/04/07 | 2021/01/28 | 40.00          |
| 65854    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 P     | 160,000,000  | 2020/04/07 | 2021/01/28 | 40.00          |
| 65864    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 Q     | 160,000,000  | 2020/04/07 | 2021/01/28 | 40.00          |
| 65819    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 A     | 160,000,000  | 2020/04/07 | 2021/02/25 | 40.00          |
| 65793    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Dec 2020 B | 60,000,000   | 2020/04/07 | 2020/12/30 | 15.00          |
| 65788    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Dec 2020 H | 80,000,000   | 2020/04/07 | 2020/12/30 | 20.00          |



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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 65789    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Sep 2021 A  | 80,000,000   | 2020/04/07 | 2021/09/30 | 20.00          |
| 65386    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 N            | 150,000,000  | 2020/04/07 | 2023/01/30 | 37.50          |
| 65391    | Haitong Int'l Sec - HSI R Bull CBBC Feb 2023 Q            | 150,000,000  | 2020/04/07 | 2023/02/27 | 37.50          |
| 65394    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 O            | 150,000,000  | 2020/04/07 | 2020/11/27 | 37.50          |
| 65547    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 D            | 150,000,000  | 2020/04/07 | 2021/01/28 | 37.50          |
| 65407    | Haitong Int'l Sec - Link REIT R Bull CBBC Dec 2020 A      | 40,000,000   | 2020/04/07 | 2020/12/21 | 10.00          |
| 65400    | Haitong Int'l Sec - Tencent R Bear CBBC Sep 2020 R        | 40,000,000   | 2020/04/07 | 2020/09/24 | 10.00          |
| 65284    | Morgan Stanley Asia Products - HSI R Bear CBBC Jul 2020 H | 150,000,000  | 2020/04/07 | 2020/07/30 | 37.50          |
| 65879    | SG Issuer - AIA R Bear CBBC Aug 2020 B                    | 60,000,000   | 2020/04/07 | 2020/08/06 | 15.00          |
| 65885    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 N          | 80,000,000   | 2020/04/07 | 2020/11/27 | 20.00          |
| 65928    | SG Issuer - Geely Auto R Bear CBBC Nov 2020 B             | 40,000,000   | 2020/04/07 | 2020/11/27 | 10.00          |
| 65963    | SG Issuer - HSI R Bull CBBC Nov 2022 K                    | 250,000,000  | 2020/04/07 | 2022/11/29 | 62.50          |
| 65967    | SG Issuer - HSI R Bull CBBC Nov 2022 Y                    | 250,000,000  | 2020/04/07 | 2022/11/29 | 62.50          |
| 65984    | SG Issuer - HSI R Bull CBBC Dec 2022 X                    | 250,000,000  | 2020/04/07 | 2022/12/29 | 62.50          |
| 65989    | SG Issuer - HSI R Bull CBBC Jan 2023 Y                    | 250,000,000  | 2020/04/07 | 2023/01/30 | 62.50          |
| 65900    | SG Issuer - HSI R Bear CBBC Sep 2020 B                    | 250,000,000  | 2020/04/07 | 2020/09/29 | 62.50          |
| 65920    | SG Issuer - HSI R Bear CBBC Sep 2020 F                    | 250,000,000  | 2020/04/07 | 2020/09/29 | 62.50          |
| 65941    | SG Issuer - HSI R Bear CBBC Oct 2020 A                    | 250,000,000  | 2020/04/07 | 2020/10/29 | 62.50          |
| 65942    | SG Issuer - HSI R Bear CBBC Oct 2020 G                    | 250,000,000  | 2020/04/07 | 2020/10/29 | 62.50          |
| 65951    | SG Issuer - HSI R Bear CBBC Nov 2020 M                    | 250,000,000  | 2020/04/07 | 2020/11/27 | 62.50          |
| 65952    | SG Issuer - HSI R Bear CBBC Nov 2020 Q                    | 250,000,000  | 2020/04/07 | 2020/11/27 | 62.50          |
| 65992    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 N       | 100,000,000  | 2020/04/07 | 2020/12/30 | 25.00          |
| 65886    | SG Issuer - Meituan Dianping R Bear CBBC Sep 2020 F       | 100,000,000  | 2020/04/07 | 2020/09/29 | 25.00          |
| 65887    | SG Issuer - Tencent R Bull CBBC Oct 2020 V                | 80,000,000   | 2020/04/07 | 2020/10/29 | 20.00          |
| 65893    | SG Issuer - Tencent R Bull CBBC Oct 2020 W                | 80,000,000   | 2020/04/07 | 2020/10/29 | 20.00          |
| 65894    | SG Issuer - Tencent R Bear CBBC Nov 2020 T                | 80,000,000   | 2020/04/07 | 2020/11/27 | 20.00          |
| 65933    | SG Issuer - Tencent R Bear CBBC Feb 2021 F                | 80,000,000   | 2020/04/07 | 2021/02/26 | 20.00          |
| 66006    | SG Issuer - Xiaomi R Bull CBBC Oct 2020 D                 | 60,000,000   | 2020/04/07 | 2020/10/29 | 15.00          |
| 65596    | UBS AG - AIA R Bull CBBC Dec 2020 E                       | 100,000,000  | 2020/04/07 | 2020/12/07 | 25.00          |
| 65598    | UBS AG - AIA R Bull CBBC Dec 2020 F                       | 100,000,000  | 2020/04/07 | 2020/12/08 | 25.00          |
| 65599    | UBS AG - AIA R Bear CBBC Dec 2020 D                       | 100,000,000  | 2020/04/07 | 2020/12/08 | 25.00          |
| 65686    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 Q             | 80,000,000   | 2020/04/07 | 2020/12/11 | 20.00          |
| 65590    | UBS AG - Alibaba Group R Bear CBBC Jan 2021 A             | 400,000,000  | 2020/04/07 | 2021/01/28 | 100.00         |
| 65728    | UBS AG - China Mobile R Bull CBBC Dec 2020 E              | 80,000,000   | 2020/04/07 | 2020/12/21 | 20.00          |
| 65706    | UBS AG - CNOOC R Bull CBBC Dec 2020 E                     | 40,000,000   | 2020/04/07 | 2020/12/30 | 10.00          |
| 65711    | UBS AG - HKEX R Bull CBBC Dec 2020 K                      | 50,000,000   | 2020/04/07 | 2020/12/11 | 12.50          |
| 65712    | UBS AG - HKEX R Bull CBBC Dec 2020 L                      | 50,000,000   | 2020/04/07 | 2020/12/08 | 12.50          |
| 65714    | UBS AG - HKEX R Bear CBBC Dec 2020 C                      | 50,000,000   | 2020/04/07 | 2020/12/08 | 12.50          |
| 65655    | UBS AG - HSI R Bull CBBC Jan 2023 H                       | 400,000,000  | 2020/04/07 | 2023/01/30 | 100.00         |
| 65602    | UBS AG - HSI R Bull CBBC Jan 2023 X                       | 200,000,000  | 2020/04/07 | 2023/01/30 | 50.00          |
| 65617    | UBS AG - HSI R Bull CBBC Jan 2023 Y                       | 200,000,000  | 2020/04/07 | 2023/01/30 | 50.00          |
| 65621    | UBS AG - HSI R Bull CBBC Jan 2023 Z                       | 200,000,000  | 2020/04/07 | 2023/01/30 | 50.00          |
| 65577    | UBS AG - HSI R Bear CBBC Jul 2020 T                       | 200,000,000  | 2020/04/07 | 2020/07/30 | 50.00          |
| 65666    | UBS AG - HSI R Bear CBBC Jul 2020 V                       | 200,000,000  | 2020/04/07 | 2020/07/30 | 50.00          |
| 65558    | UBS AG - HSI R Bear CBBC Oct 2020 R                       | 200,000,000  | 2020/04/07 | 2020/10/29 | 50.00          |

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| 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 65564    | UBS AG - HSI R Bear CBBC Oct 2020 S                        | 200,000,000  | 2020/04/07 | 2020/10/29 | 50.00          |
| 65571    | UBS AG - HSI R Bear CBBC Oct 2020 T                        | 200,000,000  | 2020/04/07 | 2020/10/29 | 50.00          |
| 65575    | UBS AG - HSI R Bear CBBC Oct 2020 U                        | 200,000,000  | 2020/04/07 | 2020/10/29 | 50.00          |
| 65678    | UBS AG - HSI R Bear CBBC Nov 2020 E                        | 200,000,000  | 2020/04/07 | 2020/11/27 | 50.00          |
| 65657    | UBS AG - HSI R Bear CBBC Nov 2020 J                        | 200,000,000  | 2020/04/07 | 2020/11/27 | 50.00          |
| 65676    | UBS AG - HSI R Bear CBBC Nov 2020 K                        | 400,000,000  | 2020/04/07 | 2020/11/27 | 100.00         |
| 65699    | UBS AG - Meituan Dianping R Bull CBBC Dec 2020 S           | 50,000,000   | 2020/04/07 | 2020/12/11 | 12.50          |
| 65593    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 I           | 50,000,000   | 2020/04/07 | 2020/12/30 | 12.50          |
| 65725    | UBS AG - Sunny Optical R Bear CBBC Dec 2020 B              | 30,000,000   | 2020/04/07 | 2020/12/30 | 10.50          |
| 65685    | UBS AG - Tencent R Bull CBBC Dec 2020 Z                    | 40,000,000   | 2020/04/07 | 2020/12/11 | 10.00          |
| 65579    | UBS AG - Tencent R Bear CBBC Dec 2020 Y                    | 40,000,000   | 2020/04/07 | 2020/12/16 | 10.00          |
| 65586    | UBS AG - Tencent R Bear CBBC Dec 2020 Z                    | 200,000,000  | 2020/04/07 | 2020/12/07 | 50.00          |
| 65521    | Bank Vontobel - Alibaba Group R Bull CBBC Dec 2020 B       | 40,000,000   | 2020/04/07 | 2020/12/04 | 10.00          |
| 65545    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 M    | 60,000,000   | 2020/04/07 | 2020/12/04 | 15.00          |
| 65537    | Bank Vontobel - Meituan Dianping R Bear CBBC Dec 2020 P    | 60,000,000   | 2020/04/07 | 2020/12/18 | 15.00          |
| 51480 #  | UBS AG - HSBC R Bull CBBC Mar 2021 A                       | 150,000,000  | 2020/04/07 | 2021/03/15 | 10.50          |
| 66042    | BOCI Asia Ltd. - HSBC R Bull CBBC Nov 2020 B               | 70,000,000   | 2020/04/08 | 2020/11/16 | 17.50          |
| 66052    | BOCI Asia Ltd. - HSBC R Bull CBBC Nov 2020 C               | 70,000,000   | 2020/04/08 | 2020/11/16 | 17.50          |
| 66072    | BOCI Asia Ltd. - HSBC R Bear CBBC Nov 2020 A               | 70,000,000   | 2020/04/08 | 2020/11/16 | 17.50          |
| 66030    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 D                | 150,000,000  | 2020/04/08 | 2022/12/29 | 37.50          |
| 66041    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 E                | 150,000,000  | 2020/04/08 | 2022/12/29 | 37.50          |
| 66109    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 F                | 150,000,000  | 2020/04/08 | 2022/12/29 | 37.50          |
| 66089    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 V                | 150,000,000  | 2020/04/08 | 2020/10/29 | 37.50          |
| 66102    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 W                | 150,000,000  | 2020/04/08 | 2020/10/29 | 37.50          |
| 66567    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 M     | 250,000,000  | 2020/04/08 | 2020/12/30 | 62.50          |
| 66573    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 N     | 250,000,000  | 2020/04/08 | 2020/12/30 | 62.50          |
| 66483    | Credit Suisse AG - HSBC R Bull CBBC Oct 2020 A             | 70,000,000   | 2020/04/08 | 2020/10/29 | 17.50          |
| 66487    | Credit Suisse AG - HSBC R Bull CBBC Dec 2020 G             | 70,000,000   | 2020/04/08 | 2020/12/30 | 17.50          |
| 66493    | Credit Suisse AG - HSBC R Bear CBBC Sep 2020 D             | 70,000,000   | 2020/04/08 | 2020/09/29 | 17.50          |
| 66444    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 T              | 200,000,000  | 2020/04/08 | 2022/09/29 | 50.00          |
| 66445    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 U              | 200,000,000  | 2020/04/08 | 2022/09/29 | 50.00          |
| 66440    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 H              | 200,000,000  | 2020/04/08 | 2022/10/28 | 50.00          |
| 66482    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 J              | 200,000,000  | 2020/04/08 | 2022/10/28 | 50.00          |
| 66446    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 O              | 300,000,000  | 2020/04/08 | 2022/12/29 | 75.00          |
| 66498    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 H              | 200,000,000  | 2020/04/08 | 2020/10/29 | 50.00          |
| 66510    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 J              | 200,000,000  | 2020/04/08 | 2020/10/29 | 50.00          |
| 66505    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 S              | 200,000,000  | 2020/04/08 | 2020/11/27 | 50.00          |
| 66509    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 B              | 200,000,000  | 2020/04/08 | 2020/12/30 | 50.00          |
| 66497    | Credit Suisse AG - Meituan Dianping R Bear CBBC Oct 2020 C | 60,000,000   | 2020/04/08 | 2020/10/29 | 15.00          |
| 66895    | Goldman Sachs SP (Asia) - HSBC R Bull CBBC Dec 2020 D      | 60,000,000   | 2020/04/08 | 2020/12/30 | 15.00          |
| 66915    | Goldman Sachs SP (Asia) - HSBC R Bull CBBC Dec 2020 E      | 60,000,000   | 2020/04/08 | 2020/12/30 | 15.00          |
| 66786    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 A       | 160,000,000  | 2020/04/08 | 2023/04/27 | 40.00          |
| 66788    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 B       | 160,000,000  | 2020/04/08 | 2023/04/27 | 40.00          |
| 66793    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 C       | 160,000,000  | 2020/04/08 | 2023/04/27 | 40.00          |
| 66794    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 D       | 160,000,000  | 2020/04/08 | 2023/04/27 | 40.00          |

# 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) |
|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 66798    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 E      | 160,000,000  | 2020/04/08 | 2023/04/27 | 40.00          |
| 66863    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 F      | 160,000,000  | 2020/04/08 | 2023/04/27 | 40.00          |
| 66884    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 G      | 160,000,000  | 2020/04/08 | 2023/04/27 | 40.00          |
| 66891    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 H      | 160,000,000  | 2020/04/08 | 2023/04/27 | 40.00          |
| 66803    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 R      | 160,000,000  | 2020/04/08 | 2021/01/28 | 40.00          |
| 66807    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 S      | 160,000,000  | 2020/04/08 | 2021/01/28 | 40.00          |
| 66829    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 T      | 160,000,000  | 2020/04/08 | 2021/01/28 | 40.00          |
| 66843    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 U      | 160,000,000  | 2020/04/08 | 2021/01/28 | 40.00          |
| 66861    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 V      | 160,000,000  | 2020/04/08 | 2021/01/28 | 40.00          |
| 66892    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Dec 2020 B  | 60,000,000   | 2020/04/08 | 2020/12/30 | 15.00          |
| 66111    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 O            | 150,000,000  | 2020/04/08 | 2023/01/30 | 37.50          |
| 66115    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 P            | 150,000,000  | 2020/04/08 | 2023/01/30 | 37.50          |
| 66114    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 A            | 150,000,000  | 2020/04/08 | 2023/03/30 | 37.50          |
| 66430    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 D            | 150,000,000  | 2020/04/08 | 2020/12/30 | 37.50          |
| 66142    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 E            | 150,000,000  | 2020/04/08 | 2021/01/28 | 37.50          |
| 66126    | Haitong Int'l Sec - Tencent R Bull CBBC Sep 2020 X        | 40,000,000   | 2020/04/08 | 2020/09/24 | 10.00          |
| 66075    | Morgan Stanley Asia Products - HSI R Bull CBBC Aug 2022 K | 150,000,000  | 2020/04/08 | 2022/08/30 | 37.50          |
| 66013    | Morgan Stanley Asia Products - HSI R Bull CBBC Oct 2022 X | 150,000,000  | 2020/04/08 | 2022/10/28 | 37.50          |
| 66028    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 B | 150,000,000  | 2020/04/08 | 2022/11/29 | 37.50          |
| 66086    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 N | 150,000,000  | 2020/04/08 | 2020/08/28 | 37.50          |
| 66782    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 L          | 80,000,000   | 2020/04/08 | 2020/10/28 | 20.00          |
| 66784    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 P          | 80,000,000   | 2020/04/08 | 2020/12/30 | 20.00          |
| 66585    | SG Issuer - China Mobile R Bull CBBC Nov 2020 D           | 100,000,000  | 2020/04/08 | 2020/11/30 | 25.00          |
| 66624    | SG Issuer - CC Bank R Bear CBBC Dec 2020 A                | 100,000,000  | 2020/04/08 | 2020/12/30 | 25.00          |
| 66629    | SG Issuer - CM Bank R Bull CBBC Dec 2020 D                | 100,000,000  | 2020/04/08 | 2020/12/30 | 25.00          |
| 66630    | SG Issuer - Galaxy Ent R Bear CBBC Nov 2020 B             | 100,000,000  | 2020/04/08 | 2020/11/27 | 25.00          |
| 66594    | SG Issuer - HKEX R Bull CBBC Oct 2020 L                   | 50,000,000   | 2020/04/08 | 2020/10/30 | 12.50          |
| 66642    | SG Issuer - HSBC R Bull CBBC Apr 2021 B                   | 100,000,000  | 2020/04/08 | 2021/04/30 | 25.00          |
| 66655    | SG Issuer - HSBC R Bull CBBC Jun 2021 A                   | 100,000,000  | 2020/04/08 | 2021/06/30 | 25.00          |
| 66656    | SG Issuer - HSBC R Bull CBBC Jun 2021 B                   | 100,000,000  | 2020/04/08 | 2021/06/30 | 25.00          |
| 66638    | SG Issuer - HSBC R Bear CBBC Sep 2020 C                   | 100,000,000  | 2020/04/08 | 2020/09/29 | 25.00          |
| 66641    | SG Issuer - HSBC R Bear CBBC Sep 2020 D                   | 100,000,000  | 2020/04/08 | 2020/09/30 | 25.00          |
| 66677    | SG Issuer - HSI R Bull CBBC Nov 2022 I                    | 250,000,000  | 2020/04/08 | 2022/11/29 | 62.50          |
| 66757    | SG Issuer - HSI R Bull CBBC Dec 2022 Y                    | 250,000,000  | 2020/04/08 | 2022/12/29 | 62.50          |
| 66683    | SG Issuer - HSI R Bull CBBC Jan 2023 A                    | 250,000,000  | 2020/04/08 | 2023/01/30 | 62.50          |
| 66681    | SG Issuer - HSI R Bull CBBC Jan 2023 Z                    | 250,000,000  | 2020/04/08 | 2023/01/30 | 62.50          |
| 66601    | SG Issuer - HSI R Bull CBBC Feb 2023 S                    | 250,000,000  | 2020/04/08 | 2023/02/27 | 62.50          |
| 66623    | SG Issuer - HSI R Bull CBBC Feb 2023 T                    | 250,000,000  | 2020/04/08 | 2023/02/27 | 62.50          |
| 66686    | SG Issuer - HSI R Bear CBBC Sep 2020 G                    | 250,000,000  | 2020/04/08 | 2020/09/29 | 62.50          |
| 66695    | SG Issuer - HSI R Bear CBBC Oct 2020 H                    | 250,000,000  | 2020/04/08 | 2020/10/29 | 62.50          |
| 66696    | SG Issuer - HSI R Bear CBBC Oct 2020 I                    | 250,000,000  | 2020/04/08 | 2020/10/29 | 62.50          |
| 66747    | SG Issuer - HSI R Bear CBBC Oct 2020 J                    | 250,000,000  | 2020/04/08 | 2020/10/29 | 62.50          |
| 66661    | SG Issuer - ICBC R Bull CBBC Aug 2021 A                   | 100,000,000  | 2020/04/08 | 2021/08/03 | 25.00          |
| 66596    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 C       | 100,000,000  | 2020/04/08 | 2020/12/30 | 25.00          |
| 66666    | SG Issuer - Tencent R Bull CBBC Jul 2020 T                | 80,000,000   | 2020/04/08 | 2020/07/31 | 20.00          |

# 主板 可收回牛熊證

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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 66673    | SG Issuer - Tencent R Bull CBBC Aug 2020 G              | 80,000,000   | 2020/04/08 | 2020/08/28 | 20.00          |
| 66674    | SG Issuer - Tencent R Bull CBBC Sep 2020 X              | 80,000,000   | 2020/04/08 | 2020/09/30 | 20.00          |
| 66251    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 R           | 80,000,000   | 2020/04/08 | 2020/12/14 | 20.00          |
| 66280    | UBS AG - CC Bank R Bull CBBC Dec 2020 C                 | 100,000,000  | 2020/04/08 | 2020/12/14 | 25.00          |
| 66284    | UBS AG - CC Bank R Bear CBBC Dec 2020 B                 | 100,000,000  | 2020/04/08 | 2020/12/07 | 25.00          |
| 66265    | UBS AG - CNOOC R Bull CBBC Dec 2020 F                   | 40,000,000   | 2020/04/08 | 2020/12/07 | 10.00          |
| 66224    | UBS AG - Galaxy Ent R Bull CBBC Nov 2020 A              | 100,000,000  | 2020/04/08 | 2020/11/30 | 25.00          |
| 66228    | UBS AG - HKEX R Bull CBBC Dec 2020 M                    | 200,000,000  | 2020/04/08 | 2020/12/28 | 50.00          |
| 66208    | UBS AG - HSBC R Bull CBBC Mar 2021 B                    | 100,000,000  | 2020/04/08 | 2021/03/29 | 25.00          |
| 66214    | UBS AG - HSBC R Bull CBBC Mar 2021 C                    | 100,000,000  | 2020/04/08 | 2021/03/22 | 25.00          |
| 66429    | UBS AG - HSBC R Bear CBBC Dec 2020 D                    | 100,000,000  | 2020/04/08 | 2020/12/14 | 25.00          |
| 66305    | UBS AG - HSI R Bull CBBC Oct 2022 B                     | 200,000,000  | 2020/04/08 | 2022/10/28 | 50.00          |
| 66299    | UBS AG - HSI R Bull CBBC Oct 2022 S                     | 200,000,000  | 2020/04/08 | 2022/10/28 | 50.00          |
| 66291    | UBS AG - HSI R Bull CBBC Nov 2022 H                     | 200,000,000  | 2020/04/08 | 2022/11/29 | 50.00          |
| 66293    | UBS AG - HSI R Bull CBBC Nov 2022 K                     | 200,000,000  | 2020/04/08 | 2022/11/29 | 50.00          |
| 66295    | UBS AG - HSI R Bull CBBC Nov 2022 N                     | 200,000,000  | 2020/04/08 | 2022/11/29 | 50.00          |
| 66330    | UBS AG - HSI R Bull CBBC Jan 2023 G                     | 200,000,000  | 2020/04/08 | 2023/01/30 | 50.00          |
| 66165    | UBS AG - HSI R Bull CBBC Jan 2023 I                     | 200,000,000  | 2020/04/08 | 2023/01/30 | 50.00          |
| 66197    | UBS AG - HSI R Bull CBBC Jan 2023 J                     | 200,000,000  | 2020/04/08 | 2023/01/30 | 50.00          |
| 66333    | UBS AG - HSI R Bull CBBC Jan 2023 K                     | 400,000,000  | 2020/04/08 | 2023/01/30 | 100.00         |
| 66201    | UBS AG - HSI R Bull CBBC Jan 2023 L                     | 200,000,000  | 2020/04/08 | 2023/01/30 | 50.00          |
| 66301    | UBS AG - HSI R Bull CBBC Jan 2023 P                     | 200,000,000  | 2020/04/08 | 2023/01/30 | 50.00          |
| 66346    | UBS AG - HSI R Bear CBBC Sep 2020 R                     | 200,000,000  | 2020/04/08 | 2020/09/29 | 50.00          |
| 66350    | UBS AG - HSI R Bear CBBC Sep 2020 U                     | 200,000,000  | 2020/04/08 | 2020/09/29 | 50.00          |
| 66377    | UBS AG - HSI R Bear CBBC Sep 2020 V                     | 200,000,000  | 2020/04/08 | 2020/09/29 | 50.00          |
| 66388    | UBS AG - HSI R Bear CBBC Sep 2020 W                     | 200,000,000  | 2020/04/08 | 2020/09/29 | 50.00          |
| 66416    | UBS AG - HSI R Bear CBBC Oct 2020 W                     | 200,000,000  | 2020/04/08 | 2020/10/29 | 50.00          |
| 66419    | UBS AG - HSI R Bear CBBC Nov 2020 M                     | 200,000,000  | 2020/04/08 | 2020/11/27 | 50.00          |
| 66423    | UBS AG - HSI R Bear CBBC Nov 2020 N                     | 200,000,000  | 2020/04/08 | 2020/11/27 | 50.00          |
| 66275    | UBS AG - Meituan Dianping R Bull CBBC Dec 2020 T        | 50,000,000   | 2020/04/08 | 2020/12/07 | 12.50          |
| 66279    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 J        | 50,000,000   | 2020/04/08 | 2020/12/04 | 12.50          |
| 66235    | UBS AG - Tencent R Bull CBBC Dec 2020 A                 | 40,000,000   | 2020/04/08 | 2020/12/14 | 10.00          |
| 66239    | UBS AG - Tencent R Bull CBBC Dec 2020 B                 | 40,000,000   | 2020/04/08 | 2020/12/18 | 10.00          |
| 66425    | UBS AG - Tencent R Bear CBBC Dec 2020 C                 | 40,000,000   | 2020/04/08 | 2020/12/04 | 10.00          |
| 66243    | UBS AG - Xiaomi R Bear CBBC Dec 2020 E                  | 60,000,000   | 2020/04/08 | 2020/12/07 | 15.00          |
| 66540    | Bank Vontobel - AIA R Bear CBBC Dec 2020 C              | 40,000,000   | 2020/04/08 | 2020/12/11 | 10.00          |
| 66548    | Bank Vontobel - CSPC Pharma R Bear CBBC Dec 2020 A      | 40,000,000   | 2020/04/08 | 2020/12/18 | 10.40          |
| 66518    | Bank Vontobel - HSBC R Bull CBBC Dec 2020 E             | 40,000,000   | 2020/04/08 | 2020/12/11 | 10.00          |
| 66527    | Bank Vontobel - HSBC R Bull CBBC Dec 2020 F             | 40,000,000   | 2020/04/08 | 2020/12/11 | 10.00          |
| 66549    | Bank Vontobel - HSBC R Bear CBBC Dec 2020 F             | 40,000,000   | 2020/04/08 | 2020/12/11 | 10.00          |
| 66538    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 P | 60,000,000   | 2020/04/08 | 2020/12/11 | 15.00          |
| 66920    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 G             | 150,000,000  | 2020/04/09 | 2022/12/29 | 37.50          |
| 66929    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 H             | 150,000,000  | 2020/04/09 | 2022/12/29 | 37.50          |
| 66954    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 I             | 150,000,000  | 2020/04/09 | 2022/12/29 | 37.50          |
| 67305    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 J             | 150,000,000  | 2020/04/09 | 2022/12/29 | 37.50          |

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|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 66956    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 X              | 150,000,000  | 2020/04/09 | 2020/10/29 | 37.50          |
| 67454    | Credit Suisse AG - CM Bank R Bull CBBC Dec 2020 A        | 80,000,000   | 2020/04/09 | 2020/12/30 | 20.00          |
| 67437    | Credit Suisse AG - HSBC R Bull CBBC Nov 2020 B           | 70,000,000   | 2020/04/09 | 2020/11/27 | 17.50          |
| 67442    | Credit Suisse AG - HSBC R Bear CBBC Sep 2020 E           | 70,000,000   | 2020/04/09 | 2020/09/29 | 17.50          |
| 67456    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 V            | 200,000,000  | 2020/04/09 | 2022/09/29 | 50.00          |
| 67472    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 W            | 200,000,000  | 2020/04/09 | 2022/09/29 | 50.00          |
| 67482    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 X            | 200,000,000  | 2020/04/09 | 2022/09/29 | 50.00          |
| 67428    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 K            | 200,000,000  | 2020/04/09 | 2020/10/29 | 50.00          |
| 67432    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 L            | 200,000,000  | 2020/04/09 | 2020/10/29 | 50.00          |
| 67434    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 J            | 200,000,000  | 2020/04/09 | 2021/01/28 | 50.00          |
| 67757    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 V     | 160,000,000  | 2020/04/09 | 2022/11/29 | 40.00          |
| 67760    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 W     | 160,000,000  | 2020/04/09 | 2022/11/29 | 40.00          |
| 67723    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 C     | 160,000,000  | 2020/04/09 | 2022/12/29 | 40.00          |
| 67724    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 E     | 160,000,000  | 2020/04/09 | 2022/12/29 | 40.00          |
| 67709    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 I     | 160,000,000  | 2020/04/09 | 2022/12/29 | 40.00          |
| 67750    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 C     | 160,000,000  | 2020/04/09 | 2020/12/30 | 40.00          |
| 67751    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 D     | 160,000,000  | 2020/04/09 | 2020/12/30 | 40.00          |
| 67746    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 S     | 160,000,000  | 2020/04/09 | 2020/12/30 | 40.00          |
| 67728    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 B     | 160,000,000  | 2020/04/09 | 2021/02/25 | 40.00          |
| 67729    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 C     | 160,000,000  | 2020/04/09 | 2021/02/25 | 40.00          |
| 67733    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 D     | 160,000,000  | 2020/04/09 | 2021/02/25 | 40.00          |
| 67734    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Dec 2020 C | 60,000,000   | 2020/04/09 | 2020/12/30 | 15.00          |
| 67745    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Mar 2021 P | 80,000,000   | 2020/04/09 | 2021/03/01 | 20.00          |
| 67743    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Dec 2020 B  | 60,000,000   | 2020/04/09 | 2020/12/30 | 15.00          |
| 67707    | Haitong Int'l Sec - HSBC R Bull CBBC Apr 2021 A          | 40,000,000   | 2020/04/09 | 2021/04/30 | 10.00          |
| 67700    | Haitong Int'l Sec - HSBC R Bear CBBC Dec 2020 A          | 40,000,000   | 2020/04/09 | 2020/12/14 | 10.00          |
| 67687    | Haitong Int'l Sec - HSI R Bull CBBC Feb 2023 R           | 150,000,000  | 2020/04/09 | 2023/02/27 | 37.50          |
| 67689    | Haitong Int'l Sec - HSI R Bull CBBC Feb 2023 S           | 150,000,000  | 2020/04/09 | 2023/02/27 | 37.50          |
| 67683    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 E           | 150,000,000  | 2020/04/09 | 2020/12/30 | 37.50          |
| 67686    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 F           | 150,000,000  | 2020/04/09 | 2020/12/30 | 37.50          |
| 67696    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 F           | 150,000,000  | 2020/04/09 | 2021/01/28 | 37.50          |
| 67349    | J P Morgan SP BV - Alibaba Group R Bull CBBC Sep 2020 B  | 80,000,000   | 2020/04/09 | 2020/09/11 | 20.00          |
| 67312    | J P Morgan SP BV - HSI R Bull CBBC Nov 2022 Q            | 200,000,000  | 2020/04/09 | 2022/11/29 | 50.00          |
| 67314    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 N            | 200,000,000  | 2020/04/09 | 2022/12/29 | 50.00          |
| 67401    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 L            | 200,000,000  | 2020/04/09 | 2023/01/30 | 50.00          |
| 67406    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 M            | 200,000,000  | 2020/04/09 | 2023/01/30 | 50.00          |
| 67410    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 N            | 200,000,000  | 2020/04/09 | 2023/01/30 | 50.00          |
| 67413    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 O            | 200,000,000  | 2020/04/09 | 2023/01/30 | 50.00          |
| 67403    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 A            | 200,000,000  | 2020/04/09 | 2023/02/27 | 50.00          |
| 67409    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 B            | 200,000,000  | 2020/04/09 | 2023/02/27 | 50.00          |
| 67411    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 C            | 200,000,000  | 2020/04/09 | 2023/02/27 | 50.00          |
| 67421    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 D            | 200,000,000  | 2020/04/09 | 2023/02/27 | 50.00          |
| 67363    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 G            | 200,000,000  | 2020/04/09 | 2020/11/27 | 50.00          |
| 67399    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 L            | 200,000,000  | 2020/04/09 | 2020/11/27 | 50.00          |
| 67315    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 N            | 200,000,000  | 2020/04/09 | 2020/11/27 | 50.00          |

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|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 67325    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 O                | 200,000,000  | 2020/04/09 | 2020/11/27 | 50.00          |
| 67353    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 P                | 200,000,000  | 2020/04/09 | 2020/11/27 | 50.00          |
| 67356    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 Q                | 200,000,000  | 2020/04/09 | 2020/11/27 | 50.00          |
| 67367    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 A                | 200,000,000  | 2020/04/09 | 2020/12/30 | 50.00          |
| 67355    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 L                | 200,000,000  | 2020/04/09 | 2020/12/30 | 50.00          |
| 67361    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 M                | 200,000,000  | 2020/04/09 | 2020/12/30 | 50.00          |
| 67400    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 O                | 200,000,000  | 2020/04/09 | 2020/12/30 | 50.00          |
| 67344    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Sep 2020 A   | 80,000,000   | 2020/04/09 | 2020/09/11 | 20.00          |
| 67332    | J P Morgan SP BV - Tencent R Bull CBBC Aug 2020 J            | 50,000,000   | 2020/04/09 | 2020/08/14 | 12.50          |
| 67279    | Morgan Stanley Asia Products - CC Bank R Bull CBBC Dec2020 A | 40,000,000   | 2020/04/09 | 2020/12/01 | 10.00          |
| 67275    | Morgan Stanley Asia Products - Galaxy Ent R Bull CBBC Dec20D | 40,000,000   | 2020/04/09 | 2020/12/21 | 10.00          |
| 67276    | Morgan Stanley Asia Products - Galaxy Ent R Bull CBBC Dec20E | 40,000,000   | 2020/04/09 | 2020/12/07 | 10.00          |
| 67282    | Morgan Stanley Asia Products - HSI R Bull CBBC Oct 2022 Y    | 150,000,000  | 2020/04/09 | 2022/10/28 | 37.50          |
| 67281    | Morgan Stanley Asia Products - HSI R Bull CBBC Dec 2022 J    | 150,000,000  | 2020/04/09 | 2022/12/29 | 37.50          |
| 67230    | Morgan Stanley Asia Products - HSI R Bear CBBC Jul 2020 I    | 150,000,000  | 2020/04/09 | 2020/07/30 | 37.50          |
| 67260    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 I    | 150,000,000  | 2020/04/09 | 2020/09/29 | 37.50          |
| 67587    | SG Issuer - AIA R Bear CBBC Nov 2020 A                       | 60,000,000   | 2020/04/09 | 2020/11/27 | 15.00          |
| 67665    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 M             | 80,000,000   | 2020/04/09 | 2020/10/30 | 20.00          |
| 67484    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 O             | 80,000,000   | 2020/04/09 | 2020/11/27 | 20.00          |
| 67588    | SG Issuer - China Mobile R Bear CBBC Oct 2020 A              | 100,000,000  | 2020/04/09 | 2020/10/30 | 25.00          |
| 67666    | SG Issuer - CNOOC R Bull CBBC Nov 2020 E                     | 40,000,000   | 2020/04/09 | 2020/11/30 | 10.00          |
| 67676    | SG Issuer - CNOOC R Bull CBBC Dec 2020 L                     | 40,000,000   | 2020/04/09 | 2020/12/30 | 10.00          |
| 67679    | SG Issuer - HSBC R Bull CBBC Apr 2021 C                      | 100,000,000  | 2020/04/09 | 2021/04/30 | 25.00          |
| 67489    | SG Issuer - HSBC R Bull CBBC Jun 2021 C                      | 100,000,000  | 2020/04/09 | 2021/06/30 | 25.00          |
| 67593    | SG Issuer - HSBC R Bear CBBC Oct 2020 A                      | 100,000,000  | 2020/04/09 | 2020/10/30 | 25.00          |
| 67651    | SG Issuer - HSI R Bull CBBC Oct 2022 K                       | 250,000,000  | 2020/04/09 | 2022/10/28 | 62.50          |
| 67655    | SG Issuer - HSI R Bull CBBC Nov 2022 O                       | 250,000,000  | 2020/04/09 | 2022/11/29 | 62.50          |
| 67662    | SG Issuer - HSI R Bull CBBC Feb 2023 U                       | 250,000,000  | 2020/04/09 | 2023/02/27 | 62.50          |
| 67559    | SG Issuer - HSI R Bull CBBC Mar 2023 H                       | 250,000,000  | 2020/04/09 | 2023/03/30 | 62.50          |
| 67608    | SG Issuer - HSI R Bear CBBC Nov 2020 H                       | 250,000,000  | 2020/04/09 | 2020/11/27 | 62.50          |
| 67606    | SG Issuer - HSI R Bear CBBC Nov 2020 R                       | 500,000,000  | 2020/04/09 | 2020/11/27 | 125.00         |
| 67607    | SG Issuer - HSI R Bear CBBC Nov 2020 S                       | 250,000,000  | 2020/04/09 | 2020/11/27 | 62.50          |
| 67646    | SG Issuer - HSI R Bear CBBC Dec 2020 K                       | 250,000,000  | 2020/04/09 | 2020/12/30 | 62.50          |
| 67614    | SG Issuer - HSI R Bear CBBC Dec 2020 Q                       | 250,000,000  | 2020/04/09 | 2020/12/30 | 62.50          |
| 67615    | SG Issuer - HSI R Bear CBBC Dec 2020 R                       | 250,000,000  | 2020/04/09 | 2020/12/30 | 62.50          |
| 67618    | SG Issuer - HSI R Bear CBBC Dec 2020 U                       | 250,000,000  | 2020/04/09 | 2020/12/30 | 62.50          |
| 67630    | SG Issuer - HSI R Bear CBBC Dec 2020 V                       | 250,000,000  | 2020/04/09 | 2020/12/30 | 62.50          |
| 67514    | SG Issuer - Meituan Dianping R Bear CBBC Oct 2020 F          | 100,000,000  | 2020/04/09 | 2020/10/29 | 25.00          |
| 67680    | SG Issuer - Sunny Optical R Bull CBBC Dec 2020 N             | 60,000,000   | 2020/04/09 | 2020/12/30 | 15.00          |
| 67681    | SG Issuer - Tencent R Bull CBBC Oct 2020 X                   | 80,000,000   | 2020/04/09 | 2020/10/30 | 20.00          |
| 67515    | SG Issuer - Tencent R Bear CBBC Nov 2020 U                   | 80,000,000   | 2020/04/09 | 2020/11/30 | 20.00          |
| 67522    | SG Issuer - Tencent R Bear CBBC Dec 2020 Q                   | 80,000,000   | 2020/04/09 | 2020/12/30 | 20.00          |
| 67147    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 S                | 80,000,000   | 2020/04/09 | 2020/12/09 | 20.00          |
| 67149    | UBS AG - CNOOC R Bull CBBC Dec 2020 G                        | 40,000,000   | 2020/04/09 | 2020/12/21 | 10.00          |
| 67162    | UBS AG - CNOOC R Bear CBBC Dec 2020 D                        | 40,000,000   | 2020/04/09 | 2020/12/21 | 10.00          |



# 主板 可收回牛熊證

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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 67167    | UBS AG - HSBC R Bull CBBC Dec 2020 E                    | 150,000,000  | 2020/04/09 | 2020/12/30 | 37.50          |
| 67169    | UBS AG - HSBC R Bull CBBC Jun 2021 A                    | 150,000,000  | 2020/04/09 | 2021/06/30 | 37.50          |
| 67176    | UBS AG - HSBC R Bear CBBC Jun 2021 A                    | 150,000,000  | 2020/04/09 | 2021/06/30 | 37.50          |
| 67132    | UBS AG - HSI R Bull CBBC Oct 2022 C                     | 200,000,000  | 2020/04/09 | 2022/10/28 | 50.00          |
| 67127    | UBS AG - HSI R Bull CBBC Oct 2022 K                     | 200,000,000  | 2020/04/09 | 2022/10/28 | 50.00          |
| 67146    | UBS AG - HSI R Bull CBBC Oct 2022 U                     | 200,000,000  | 2020/04/09 | 2022/10/28 | 50.00          |
| 67031    | UBS AG - HSI R Bear CBBC Oct 2020 X                     | 200,000,000  | 2020/04/09 | 2020/10/29 | 50.00          |
| 67035    | UBS AG - HSI R Bear CBBC Oct 2020 Y                     | 200,000,000  | 2020/04/09 | 2020/10/29 | 50.00          |
| 67044    | UBS AG - HSI R Bear CBBC Oct 2020 Z                     | 200,000,000  | 2020/04/09 | 2020/10/29 | 50.00          |
| 67047    | UBS AG - HSI R Bear CBBC Dec 2020 V                     | 200,000,000  | 2020/04/09 | 2020/12/30 | 50.00          |
| 67082    | UBS AG - HSI R Bear CBBC Dec 2020 W                     | 400,000,000  | 2020/04/09 | 2020/12/30 | 100.00         |
| 67085    | UBS AG - HSI R Bear CBBC Dec 2020 X                     | 200,000,000  | 2020/04/09 | 2020/12/30 | 50.00          |
| 67103    | UBS AG - HSI R Bear CBBC Dec 2020 Y                     | 200,000,000  | 2020/04/09 | 2020/12/30 | 50.00          |
| 67122    | UBS AG - HSI R Bear CBBC Dec 2020 Z                     | 200,000,000  | 2020/04/09 | 2020/12/30 | 50.00          |
| 67179    | UBS AG - Link REIT R Bull CBBC Dec 2020 E               | 60,000,000   | 2020/04/09 | 2020/12/30 | 15.00          |
| 67192    | UBS AG - Link REIT R Bear CBBC Dec 2020 B               | 60,000,000   | 2020/04/09 | 2020/12/30 | 15.00          |
| 67229    | UBS AG - SUNAC R Bull CBBC Jan 2021 A                   | 100,000,000  | 2020/04/09 | 2021/01/29 | 25.00          |
| 67221    | UBS AG - SUNAC R Bull CBBC Jun 2021 A                   | 100,000,000  | 2020/04/09 | 2021/06/30 | 25.00          |
| 66992    | Bank Vontobel - China Mobile R Bull CBBC Dec 2020 F     | 40,000,000   | 2020/04/09 | 2020/12/11 | 10.00          |
| 66979    | Bank Vontobel - CNOOC R Bull CBBC Dec 2020 L            | 40,000,000   | 2020/04/09 | 2020/12/04 | 10.00          |
| 66976    | Bank Vontobel - HSBC R Bull CBBC Dec 2020 G             | 40,000,000   | 2020/04/09 | 2020/12/18 | 10.00          |
| 67005    | Bank Vontobel - Meituan Dianping R Bear CBBC Dec 2020 Q | 60,000,000   | 2020/04/09 | 2020/12/04 | 15.00          |
| 66999    | Bank Vontobel - Sino Biopharm R Bear CBBC Oct 2020 B    | 40,000,000   | 2020/04/09 | 2020/10/23 | 10.00          |
| 66993    | Bank Vontobel - Tencent R Bull CBBC Dec 2020 U          | 40,000,000   | 2020/04/09 | 2020/12/18 | 10.00          |
| 66973    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 M          | 40,000,000   | 2020/04/09 | 2020/12/11 | 10.00          |
| 67885    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 K             | 150,000,000  | 2020/04/14 | 2022/12/29 | 37.50          |
| 67892    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 L             | 200,000,000  | 2020/04/14 | 2022/12/29 | 50.00          |
| 67894    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 Y             | 150,000,000  | 2020/04/14 | 2020/10/29 | 57.00          |
| 67897    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 Z             | 200,000,000  | 2020/04/14 | 2020/10/29 | 50.00          |
| 67762    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 G  | 150,000,000  | 2020/04/14 | 2022/12/29 | 37.50          |
| 67767    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 H  | 150,000,000  | 2020/04/14 | 2022/12/29 | 37.50          |
| 67787    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 I  | 150,000,000  | 2020/04/14 | 2022/12/29 | 37.50          |
| 68338    | Credit Suisse AG - AIA R Bear CBBC Jul 2020 F           | 70,000,000   | 2020/04/14 | 2020/07/30 | 17.50          |
| 68337    | Credit Suisse AG - CNOOC R Bull CBBC Oct 2020 C         | 50,000,000   | 2020/04/14 | 2020/10/29 | 12.50          |
| 68329    | Credit Suisse AG - HKEX R Bull CBBC Oct 2020 A          | 50,000,000   | 2020/04/14 | 2020/10/29 | 12.50          |
| 68301    | Credit Suisse AG - HSBC R Bear CBBC Oct 2020 A          | 70,000,000   | 2020/04/14 | 2020/10/29 | 17.50          |
| 68265    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 A           | 200,000,000  | 2020/04/14 | 2022/09/29 | 50.00          |
| 68261    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 Y           | 200,000,000  | 2020/04/14 | 2022/09/29 | 50.00          |
| 68260    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 V           | 300,000,000  | 2020/04/14 | 2022/12/29 | 75.00          |
| 68266    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 M           | 200,000,000  | 2020/04/14 | 2020/10/29 | 50.00          |
| 68283    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 E           | 200,000,000  | 2020/04/14 | 2020/12/30 | 50.00          |
| 68284    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 F           | 200,000,000  | 2020/04/14 | 2020/12/30 | 50.00          |
| 68339    | Credit Suisse AG - Sunny Optical R Bear CBBC Sep 2020 B | 40,000,000   | 2020/04/14 | 2020/09/29 | 10.00          |
| 68358    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 Z    | 160,000,000  | 2020/04/14 | 2022/11/29 | 40.00          |
| 68472    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 F    | 160,000,000  | 2020/04/14 | 2022/12/29 | 40.00          |

# 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 68497    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 G         | 160,000,000  | 2020/04/14 | 2022/12/29 | 40.00          |
| 68492    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 P         | 160,000,000  | 2020/04/14 | 2022/12/29 | 40.00          |
| 68496    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 Q         | 160,000,000  | 2020/04/14 | 2022/12/29 | 40.00          |
| 68398    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 M         | 160,000,000  | 2020/04/14 | 2020/11/27 | 40.00          |
| 68465    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 P         | 160,000,000  | 2020/04/14 | 2020/11/27 | 40.00          |
| 68468    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 Q         | 160,000,000  | 2020/04/14 | 2020/11/27 | 40.00          |
| 68471    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 R         | 160,000,000  | 2020/04/14 | 2020/11/27 | 40.00          |
| 68380    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 X         | 160,000,000  | 2020/04/14 | 2020/12/30 | 40.00          |
| 68359    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 Z         | 160,000,000  | 2020/04/14 | 2020/12/30 | 40.00          |
| 68369    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 A     | 60,000,000   | 2020/04/14 | 2020/10/28 | 15.00          |
| 67803    | HK Bank - AIA R Bull CBBC Aug 2020 E                         | 60,000,000   | 2020/04/14 | 2020/08/10 | 15.00          |
| 67831    | HK Bank - Alibaba Group R Bull CBBC Aug 2020 L               | 40,000,000   | 2020/04/14 | 2020/08/24 | 10.00          |
| 67862    | HK Bank - Bank of China R Bull CBBC Oct 2020 A               | 40,000,000   | 2020/04/14 | 2020/10/05 | 10.00          |
| 67846    | HK Bank - China Mobile R Bull CBBC Nov 2020 B                | 60,000,000   | 2020/04/14 | 2020/11/09 | 15.00          |
| 67838    | HK Bank - CNOOC R Bull CBBC Nov 2020 B                       | 40,000,000   | 2020/04/14 | 2020/11/02 | 10.00          |
| 67837    | HK Bank - HSCEI R Bull CBBC Sep 2022 G                       | 50,000,000   | 2020/04/14 | 2022/09/29 | 12.50          |
| 67813    | HK Bank - HSI R Bull CBBC Sep 2022 E                         | 100,000,000  | 2020/04/14 | 2022/09/29 | 25.00          |
| 67810    | HK Bank - HSI R Bear CBBC Sep 2020 N                         | 100,000,000  | 2020/04/14 | 2020/09/29 | 25.00          |
| 67830    | HK Bank - Meituan Dianping R Bull CBBC Sep 2020 C            | 40,000,000   | 2020/04/14 | 2020/09/21 | 10.00          |
| 67882    | HK Bank - SUNAC R Bull CBBC Oct 2020 A                       | 40,000,000   | 2020/04/14 | 2020/10/12 | 10.00          |
| 67873    | HK Bank - Tencent R Bull CBBC Sep 2020 F                     | 40,000,000   | 2020/04/14 | 2020/09/17 | 10.00          |
| 67840    | HK Bank - Tencent R Bear CBBC Sep 2020 A                     | 40,000,000   | 2020/04/14 | 2020/09/14 | 10.00          |
| 67822    | HK Bank - WuXi Bio R Bull CBBC Aug 2020 C                    | 40,000,000   | 2020/04/14 | 2020/08/20 | 10.00          |
| 68054    | Haitong Int'l Sec - China Mobile R Bull CBBC Nov 2020 A      | 40,000,000   | 2020/04/14 | 2020/11/30 | 10.00          |
| 68039    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 Q               | 150,000,000  | 2020/04/14 | 2022/12/29 | 37.50          |
| 68044    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 U               | 150,000,000  | 2020/04/14 | 2022/12/29 | 37.50          |
| 68087    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 G               | 150,000,000  | 2020/04/14 | 2020/12/30 | 37.50          |
| 68051    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 G               | 150,000,000  | 2020/04/14 | 2021/01/28 | 37.50          |
| 68056    | Haitong Int'l Sec - Tencent R Bull CBBC Oct 2020 M           | 40,000,000   | 2020/04/14 | 2020/10/16 | 10.00          |
| 68058    | Haitong Int'l Sec - WuXi Bio R Bull CBBC Dec 2020 A          | 40,000,000   | 2020/04/14 | 2020/12/16 | 10.00          |
| 67940    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 H                | 200,000,000  | 2020/04/14 | 2022/10/28 | 50.00          |
| 67961    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 X                | 200,000,000  | 2020/04/14 | 2022/10/28 | 50.00          |
| 67949    | J P Morgan SP BV - HSI R Bull CBBC Nov 2022 V                | 200,000,000  | 2020/04/14 | 2022/11/29 | 50.00          |
| 67963    | J P Morgan SP BV - HSI R Bull CBBC Nov 2022 X                | 200,000,000  | 2020/04/14 | 2022/11/29 | 50.00          |
| 67974    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 P                | 200,000,000  | 2020/04/14 | 2022/12/29 | 50.00          |
| 67950    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 R                | 200,000,000  | 2020/04/14 | 2020/11/27 | 50.00          |
| 68031    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 S                | 200,000,000  | 2020/04/14 | 2020/11/27 | 50.00          |
| 68035    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 T                | 200,000,000  | 2020/04/14 | 2020/11/27 | 50.00          |
| 67951    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 P                | 200,000,000  | 2020/04/14 | 2020/12/30 | 50.00          |
| 68034    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 S                | 200,000,000  | 2020/04/14 | 2020/12/30 | 50.00          |
| 68036    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 T                | 200,000,000  | 2020/04/14 | 2020/12/30 | 50.00          |
| 67959    | J P Morgan SP BV - Tencent R Bear CBBC Aug 2020 E            | 50,000,000   | 2020/04/14 | 2020/08/14 | 12.50          |
| 67800    | Morgan Stanley Asia Products - Ch Mobile R Bull CBBC Nov20 B | 40,000,000   | 2020/04/14 | 2020/11/16 | 10.00          |
| 67761    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 C    | 150,000,000  | 2020/04/14 | 2022/11/29 | 37.50          |
| 69382    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 N             | 80,000,000   | 2020/04/14 | 2020/10/30 | 20.00          |

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| 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) |
|----------|-----------------------------------------------------|--------------|------------|------------|----------------|
| 68560    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 Q    | 80,000,000   | 2020/04/14 | 2020/12/30 | 20.00          |
| 68501    | SG Issuer - China Mobile R Bull CBBC Sep 2020 E     | 100,000,000  | 2020/04/14 | 2020/09/30 | 25.00          |
| 68561    | SG Issuer - China Mobile R Bear CBBC Nov 2020 A     | 100,000,000  | 2020/04/14 | 2020/11/27 | 25.00          |
| 68509    | SG Issuer - CNOOC R Bear CBBC Dec 2020 A            | 40,000,000   | 2020/04/14 | 2020/12/30 | 12.20          |
| 68506    | SG Issuer - China Res Land R Bull CBBC Feb 2021 A   | 80,000,000   | 2020/04/14 | 2021/02/26 | 20.00          |
| 69464    | SG Issuer - Galaxy Ent R Bull CBBC Dec 2020 L       | 100,000,000  | 2020/04/14 | 2020/12/31 | 25.00          |
| 69476    | SG Issuer - HKEX R Bull CBBC Dec 2020 E             | 50,000,000   | 2020/04/14 | 2020/12/30 | 12.50          |
| 68562    | SG Issuer - HKEX R Bear CBBC Nov 2020 A             | 50,000,000   | 2020/04/14 | 2020/11/27 | 12.50          |
| 68518    | SG Issuer - HSBC R Bull CBBC Apr 2021 D             | 100,000,000  | 2020/04/14 | 2021/04/28 | 25.00          |
| 68563    | SG Issuer - HSBC R Bull CBBC Jun 2021 D             | 100,000,000  | 2020/04/14 | 2021/06/29 | 25.00          |
| 69122    | SG Issuer - HSI R Bull CBBC Nov 2022 S              | 250,000,000  | 2020/04/14 | 2022/11/29 | 62.50          |
| 69297    | SG Issuer - HSI R Bull CBBC Nov 2022 Z              | 250,000,000  | 2020/04/14 | 2022/11/29 | 62.50          |
| 69309    | SG Issuer - HSI R Bull CBBC Jan 2023 E              | 250,000,000  | 2020/04/14 | 2023/01/30 | 62.50          |
| 69363    | SG Issuer - HSI R Bull CBBC Jan 2023 F              | 250,000,000  | 2020/04/14 | 2023/01/30 | 62.50          |
| 68538    | SG Issuer - HSI R Bull CBBC Feb 2023 N              | 500,000,000  | 2020/04/14 | 2023/02/27 | 125.00         |
| 68544    | SG Issuer - HSI R Bull CBBC Feb 2023 O              | 250,000,000  | 2020/04/14 | 2023/02/27 | 62.50          |
| 68532    | SG Issuer - HSI R Bull CBBC Feb 2023 X              | 250,000,000  | 2020/04/14 | 2023/02/27 | 62.50          |
| 68558    | SG Issuer - HSI R Bull CBBC Mar 2023 L              | 250,000,000  | 2020/04/14 | 2023/03/30 | 62.50          |
| 68580    | SG Issuer - HSI R Bear CBBC Nov 2020 N              | 250,000,000  | 2020/04/14 | 2020/11/27 | 62.50          |
| 68590    | SG Issuer - HSI R Bear CBBC Nov 2020 T              | 250,000,000  | 2020/04/14 | 2020/11/27 | 62.50          |
| 68596    | SG Issuer - HSI R Bear CBBC Nov 2020 U              | 250,000,000  | 2020/04/14 | 2020/11/27 | 62.50          |
| 68586    | SG Issuer - HSI R Bear CBBC Dec 2020 P              | 250,000,000  | 2020/04/14 | 2020/12/30 | 62.50          |
| 68887    | SG Issuer - HSI R Bear CBBC Jan 2021 T              | 250,000,000  | 2020/04/14 | 2021/01/28 | 62.50          |
| 69003    | SG Issuer - HSI R Bear CBBC Jan 2021 U              | 250,000,000  | 2020/04/14 | 2021/01/28 | 62.50          |
| 69780    | SG Issuer - HSI R Bear CBBC Jan 2021 V              | 250,000,000  | 2020/04/14 | 2021/01/28 | 62.50          |
| 69506    | SG Issuer - Link REIT R Bull CBBC Dec 2020 F        | 60,000,000   | 2020/04/14 | 2020/12/30 | 15.00          |
| 69512    | SG Issuer - Link REIT R Bull CBBC Jan 2021 A        | 60,000,000   | 2020/04/14 | 2021/01/28 | 15.00          |
| 68525    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 O | 100,000,000  | 2020/04/14 | 2020/12/30 | 25.00          |
| 69728    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 P | 100,000,000  | 2020/04/14 | 2020/12/31 | 25.00          |
| 68578    | SG Issuer - Tencent R Bull CBBC Aug 2020 H          | 80,000,000   | 2020/04/14 | 2020/08/31 | 20.00          |
| 68527    | SG Issuer - Tencent R Bull CBBC Sep 2020 Y          | 80,000,000   | 2020/04/14 | 2020/09/30 | 20.00          |
| 68579    | SG Issuer - Tencent R Bull CBBC Oct 2020 Y          | 80,000,000   | 2020/04/14 | 2020/10/28 | 20.00          |
| 68109    | UBS AG - AIA R Bull CBBC Dec 2020 G                 | 80,000,000   | 2020/04/14 | 2020/12/31 | 20.00          |
| 68193    | UBS AG - Bud Apac R Bull CBBC Dec 2020 D            | 60,000,000   | 2020/04/14 | 2020/12/30 | 15.00          |
| 68183    | UBS AG - Bud Apac R Bear CBBC Dec 2020 B            | 60,000,000   | 2020/04/14 | 2020/12/30 | 15.00          |
| 68169    | UBS AG - HKEX R Bull CBBC Dec 2020 N                | 50,000,000   | 2020/04/14 | 2020/12/07 | 12.50          |
| 68108    | UBS AG - HSBC R Bull CBBC Dec 2020 F                | 150,000,000  | 2020/04/14 | 2020/12/31 | 37.50          |
| 68176    | UBS AG - HSCEI R Bull CBBC Dec 2021 F               | 200,000,000  | 2020/04/14 | 2021/12/30 | 50.00          |
| 68101    | UBS AG - HSI R Bull CBBC Feb 2023 A                 | 200,000,000  | 2020/04/14 | 2023/02/27 | 50.00          |
| 68112    | UBS AG - HSI R Bull CBBC Feb 2023 L                 | 200,000,000  | 2020/04/14 | 2023/02/27 | 50.00          |
| 68128    | UBS AG - HSI R Bull CBBC Feb 2023 M                 | 200,000,000  | 2020/04/14 | 2023/02/27 | 50.00          |
| 68133    | UBS AG - HSI R Bull CBBC Feb 2023 N                 | 200,000,000  | 2020/04/14 | 2023/02/27 | 50.00          |
| 68090    | UBS AG - HSI R Bull CBBC Feb 2023 Z                 | 200,000,000  | 2020/04/14 | 2023/02/27 | 50.00          |
| 68195    | UBS AG - HSI R Bear CBBC Nov 2020 O                 | 200,000,000  | 2020/04/14 | 2020/11/27 | 50.00          |
| 68199    | UBS AG - HSI R Bear CBBC Nov 2020 P                 | 200,000,000  | 2020/04/14 | 2020/11/27 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 68134    | UBS AG - HSI R Bear CBBC Dec 2020 G                        | 200,000,000  | 2020/04/14 | 2020/12/30 | 50.00          |
| 68165    | UBS AG - HSI R Bear CBBC Dec 2020 J                        | 200,000,000  | 2020/04/14 | 2020/12/30 | 50.00          |
| 68166    | UBS AG - HSI R Bear CBBC Dec 2020 K                        | 200,000,000  | 2020/04/14 | 2020/12/30 | 50.00          |
| 68167    | UBS AG - HSI R Bear CBBC Dec 2020 L                        | 200,000,000  | 2020/04/14 | 2020/12/30 | 50.00          |
| 68102    | UBS AG - Tencent R Bull CBBC Dec 2020 C                    | 200,000,000  | 2020/04/14 | 2020/12/07 | 50.00          |
| 68231    | Bank Vontobel - Geely Auto R Bear CBBC Dec 2020 F          | 40,000,000   | 2020/04/14 | 2020/12/04 | 10.00          |
| 68200    | Bank Vontobel - HKEX R Bull CBBC Dec 2020 F                | 40,000,000   | 2020/04/14 | 2020/12/11 | 10.00          |
| 68240    | Bank Vontobel - HSBC R Bear CBBC Dec 2020 G                | 40,000,000   | 2020/04/14 | 2020/12/18 | 10.00          |
| 68243    | Bank Vontobel - HSI R Bull CBBC Dec 2022 V                 | 80,000,000   | 2020/04/14 | 2022/12/29 | 20.00          |
| 68246    | Bank Vontobel - HSI R Bull CBBC Dec 2022 W                 | 80,000,000   | 2020/04/14 | 2022/12/29 | 20.00          |
| 68254    | Bank Vontobel - HSI R Bear CBBC Dec 2020 A                 | 80,000,000   | 2020/04/14 | 2020/12/30 | 20.00          |
| 68207    | Bank Vontobel - Xiaomi R Bull CBBC Dec 2020 Q              | 40,000,000   | 2020/04/14 | 2020/12/11 | 10.00          |
| 60054    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Sep 2020 S      | 60,000,000   | 2020/04/15 | 2020/09/29 | 15.00          |
| 60051    | BOCI Asia Ltd. - China Mobile R Bull CBBC Oct 2020 H       | 40,000,000   | 2020/04/15 | 2020/10/30 | 10.00          |
| 60052    | BOCI Asia Ltd. - China Mobile R Bull CBBC Oct 2020 I       | 40,000,000   | 2020/04/15 | 2020/10/30 | 10.00          |
| 60295    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 M                | 150,000,000  | 2020/04/15 | 2022/12/29 | 37.50          |
| 60296    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 N                | 150,000,000  | 2020/04/15 | 2022/12/29 | 37.50          |
| 60297    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 O                | 150,000,000  | 2020/04/15 | 2022/12/29 | 37.50          |
| 60047    | BOCI Asia Ltd. - HSI R Bear CBBC Dec 2022 A                | 150,000,000  | 2020/04/15 | 2022/12/29 | 37.50          |
| 60049    | BOCI Asia Ltd. - HSI R Bear CBBC Dec 2022 B                | 150,000,000  | 2020/04/15 | 2022/12/29 | 37.50          |
| 60053    | BOCI Asia Ltd. - Ping An R Bull CBBC Sep 2020 K            | 100,000,000  | 2020/04/15 | 2020/09/29 | 25.00          |
| 69822    | BNP Paribas Issuance B.V. - HSBC R Bull CBBC Mar 2021 F    | 150,000,000  | 2020/04/15 | 2021/03/30 | 37.50          |
| 69825    | BNP Paribas Issuance B.V. - HSBC R Bear CBBC Jan 2021 A    | 150,000,000  | 2020/04/15 | 2021/01/28 | 37.50          |
| 60037    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 J     | 150,000,000  | 2020/04/15 | 2022/12/29 | 37.50          |
| 60210    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 K     | 150,000,000  | 2020/04/15 | 2022/12/29 | 37.50          |
| 60038    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 O     | 250,000,000  | 2020/04/15 | 2020/12/30 | 62.50          |
| 60046    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 P     | 250,000,000  | 2020/04/15 | 2020/12/30 | 62.50          |
| 60002    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 E | 50,000,000   | 2020/04/15 | 2020/11/27 | 12.50          |
| 60004    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 P | 50,000,000   | 2020/04/15 | 2020/12/30 | 12.50          |
| 60010    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 G | 50,000,000   | 2020/04/15 | 2020/11/27 | 12.50          |
| 60005    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 H | 50,000,000   | 2020/04/15 | 2020/12/30 | 12.50          |
| 69810    | BNP Paribas Issuance B.V. - Xiaomi R Bull CBBC Nov 2020 S  | 50,000,000   | 2020/04/15 | 2020/11/27 | 12.50          |
| 60186    | Credit Suisse AG - Alibaba Group R Bull CBBC Sep 2020 F    | 80,000,000   | 2020/04/15 | 2020/09/29 | 20.00          |
| 60183    | Credit Suisse AG - China Mobile R Bull CBBC Nov 2020 A     | 50,000,000   | 2020/04/15 | 2020/11/27 | 12.50          |
| 60172    | Credit Suisse AG - Galaxy Ent R Bull CBBC Nov 2020 C       | 50,000,000   | 2020/04/15 | 2020/11/27 | 12.50          |
| 60206    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 Z              | 200,000,000  | 2020/04/15 | 2022/09/29 | 50.00          |
| 60208    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 K              | 200,000,000  | 2020/04/15 | 2022/11/29 | 50.00          |
| 60209    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 M              | 200,000,000  | 2020/04/15 | 2022/11/29 | 50.00          |
| 60193    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 R              | 200,000,000  | 2020/04/15 | 2022/11/29 | 50.00          |
| 60201    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 R              | 300,000,000  | 2020/04/15 | 2022/12/29 | 75.00          |
| 60144    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 N              | 200,000,000  | 2020/04/15 | 2020/10/29 | 50.00          |
| 60145    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 O              | 200,000,000  | 2020/04/15 | 2020/10/29 | 50.00          |
| 60163    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 P              | 200,000,000  | 2020/04/15 | 2020/10/29 | 50.00          |
| 60168    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Q              | 200,000,000  | 2020/04/15 | 2020/10/29 | 50.00          |
| 60169    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 R              | 200,000,000  | 2020/04/15 | 2020/10/29 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 60158    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 N              | 200,000,000  | 2020/04/15 | 2020/11/27 | 50.00          |
| 60160    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 G              | 200,000,000  | 2020/04/15 | 2020/12/30 | 50.00          |
| 60185    | Credit Suisse AG - Meituan Dianping R Bull CBBC Sep 2020 D | 80,000,000   | 2020/04/15 | 2020/09/29 | 20.00          |
| 60182    | Credit Suisse AG - Tencent R Bull CBBC Sep 2020 J          | 50,000,000   | 2020/04/15 | 2020/09/29 | 12.50          |
| 60366    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 B       | 160,000,000  | 2020/04/15 | 2022/10/28 | 40.00          |
| 60367    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 P       | 160,000,000  | 2020/04/15 | 2022/11/29 | 40.00          |
| 60368    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 R       | 160,000,000  | 2020/04/15 | 2022/11/29 | 40.00          |
| 60372    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 S       | 160,000,000  | 2020/04/15 | 2022/11/29 | 40.00          |
| 60375    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 T       | 160,000,000  | 2020/04/15 | 2022/11/29 | 40.00          |
| 60384    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 C       | 160,000,000  | 2020/04/15 | 2020/11/27 | 40.00          |
| 60347    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 S       | 160,000,000  | 2020/04/15 | 2020/11/27 | 40.00          |
| 60348    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 T       | 160,000,000  | 2020/04/15 | 2020/11/27 | 40.00          |
| 60351    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 U       | 160,000,000  | 2020/04/15 | 2020/11/27 | 40.00          |
| 60352    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 V       | 160,000,000  | 2020/04/15 | 2020/11/27 | 40.00          |
| 60378    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 W       | 160,000,000  | 2020/04/15 | 2020/11/27 | 40.00          |
| 60381    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 X       | 160,000,000  | 2020/04/15 | 2020/11/27 | 40.00          |
| 60388    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 Y       | 160,000,000  | 2020/04/15 | 2020/11/27 | 40.00          |
| 60345    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 Y       | 160,000,000  | 2020/04/15 | 2020/12/30 | 40.00          |
| 60353    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Dec 2020 I   | 60,000,000   | 2020/04/15 | 2020/12/30 | 15.00          |
| 60362    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Mar 2021 Q   | 80,000,000   | 2020/04/15 | 2021/03/01 | 20.00          |
| 60032    | HK Bank - AIA R Bull CBBC Nov 2020 C                       | 60,000,000   | 2020/04/15 | 2020/11/02 | 15.00          |
| 60036    | HK Bank - Bud Apac R Bull CBBC Nov 2020 B                  | 40,000,000   | 2020/04/15 | 2020/11/23 | 10.00          |
| 60026    | HK Bank - China Mobile R Bull CBBC Oct 2020 E              | 60,000,000   | 2020/04/15 | 2020/10/12 | 15.00          |
| 60030    | HK Bank - CNOOC R Bull CBBC Nov 2020 C                     | 40,000,000   | 2020/04/15 | 2020/11/09 | 10.00          |
| 60028    | HK Bank - Galaxy Ent R Bull CBBC Nov 2020 C                | 60,000,000   | 2020/04/15 | 2020/11/09 | 15.00          |
| 60034    | HK Bank - HKEX R Bull CBBC Nov 2020 A                      | 40,000,000   | 2020/04/15 | 2020/11/02 | 10.00          |
| 60033    | HK Bank - HSI R Bull CBBC Sep 2022 T                       | 100,000,000  | 2020/04/15 | 2022/09/29 | 25.00          |
| 60015    | HK Bank - HSI R Bear CBBC Sep 2020 O                       | 100,000,000  | 2020/04/15 | 2020/09/29 | 25.00          |
| 60035    | HK Bank - Sino Biopharm R Bull CBBC Oct 2020 A             | 40,000,000   | 2020/04/15 | 2020/10/19 | 10.00          |
| 60343    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Aug 2020 C   | 40,000,000   | 2020/04/15 | 2020/08/18 | 10.00          |
| 60331    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 F             | 150,000,000  | 2020/04/15 | 2022/12/29 | 37.50          |
| 60340    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 H             | 150,000,000  | 2020/04/15 | 2022/12/29 | 37.50          |
| 60323    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 X             | 150,000,000  | 2020/04/15 | 2022/12/29 | 37.50          |
| 60305    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 P             | 150,000,000  | 2020/04/15 | 2020/11/27 | 37.50          |
| 60309    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 H             | 150,000,000  | 2020/04/15 | 2021/01/28 | 37.50          |
| 60317    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 I             | 150,000,000  | 2020/04/15 | 2021/01/28 | 37.50          |
| 60321    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 J             | 150,000,000  | 2020/04/15 | 2021/01/28 | 37.50          |
| 60339    | Haitong Int'l Sec - Tencent R Bull CBBC Aug 2020 S         | 40,000,000   | 2020/04/15 | 2020/08/18 | 10.00          |
| 60243    | J P Morgan SP BV - Alibaba Group R Bull CBBC Aug 2020 G    | 80,000,000   | 2020/04/15 | 2020/08/14 | 20.00          |
| 60248    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 P              | 200,000,000  | 2020/04/15 | 2023/01/30 | 50.00          |
| 60255    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 Q              | 200,000,000  | 2020/04/15 | 2023/01/30 | 50.00          |
| 60257    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 R              | 200,000,000  | 2020/04/15 | 2023/01/30 | 50.00          |
| 60261    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 S              | 200,000,000  | 2020/04/15 | 2023/01/30 | 50.00          |
| 60251    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 E              | 200,000,000  | 2020/04/15 | 2023/02/27 | 50.00          |
| 60256    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 F              | 200,000,000  | 2020/04/15 | 2023/02/27 | 50.00          |

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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 60260    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 G             | 200,000,000  | 2020/04/15 | 2023/02/27 | 50.00          |
| 60282    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 H             | 200,000,000  | 2020/04/15 | 2023/02/27 | 50.00          |
| 60288    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 H             | 200,000,000  | 2020/04/15 | 2020/10/29 | 50.00          |
| 60285    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 H             | 200,000,000  | 2020/04/15 | 2020/11/27 | 50.00          |
| 60214    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 U             | 200,000,000  | 2020/04/15 | 2020/11/27 | 50.00          |
| 60218    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 V             | 200,000,000  | 2020/04/15 | 2020/11/27 | 50.00          |
| 60283    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 W             | 200,000,000  | 2020/04/15 | 2020/11/27 | 50.00          |
| 60284    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 X             | 200,000,000  | 2020/04/15 | 2020/11/27 | 50.00          |
| 60290    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 Y             | 200,000,000  | 2020/04/15 | 2020/11/27 | 50.00          |
| 60292    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 Z             | 200,000,000  | 2020/04/15 | 2020/11/27 | 50.00          |
| 60212    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 V             | 200,000,000  | 2020/04/15 | 2020/12/30 | 50.00          |
| 60235    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 X             | 200,000,000  | 2020/04/15 | 2020/12/30 | 50.00          |
| 60286    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 Y             | 200,000,000  | 2020/04/15 | 2020/12/30 | 50.00          |
| 60245    | J P Morgan SP BV - Tencent R Bull CBBC Aug 2020 K         | 50,000,000   | 2020/04/15 | 2020/08/14 | 12.50          |
| 60062    | Morgan Stanley Asia Products - HSI R Bull CBBC Sep 2022 X | 150,000,000  | 2020/04/15 | 2022/09/29 | 37.50          |
| 60025    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 O | 150,000,000  | 2020/04/15 | 2020/08/28 | 37.50          |
| 60056    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 P | 150,000,000  | 2020/04/15 | 2020/08/28 | 37.50          |
| 60059    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 J | 150,000,000  | 2020/04/15 | 2020/09/29 | 37.50          |
| 60418    | SG Issuer - AAC Tech R Bull CBBC Dec 2020 H               | 100,000,000  | 2020/04/15 | 2020/12/31 | 25.00          |
| 60486    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 O          | 80,000,000   | 2020/04/15 | 2020/10/28 | 20.00          |
| 60405    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 P          | 80,000,000   | 2020/04/15 | 2020/11/27 | 20.00          |
| 60419    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 Q          | 200,000,000  | 2020/04/15 | 2020/11/27 | 50.00          |
| 60422    | SG Issuer - China Mobile R Bear CBBC Oct 2020 B           | 100,000,000  | 2020/04/15 | 2020/10/30 | 25.00          |
| 60412    | SG Issuer - CC Bank R Bull CBBC Aug 2021 B                | 100,000,000  | 2020/04/15 | 2021/08/09 | 25.00          |
| 60424    | SG Issuer - CNOOC R Bear CBBC Nov 2020 B                  | 40,000,000   | 2020/04/15 | 2020/11/27 | 10.00          |
| 60432    | SG Issuer - HKEX R Bull CBBC Dec 2020 F                   | 50,000,000   | 2020/04/15 | 2020/12/29 | 12.50          |
| 60428    | SG Issuer - HKEX R Bear CBBC Jul 2020 I                   | 50,000,000   | 2020/04/15 | 2020/07/31 | 12.50          |
| 60487    | SG Issuer - HSBC R Bull CBBC Mar 2021 H                   | 100,000,000  | 2020/04/15 | 2021/03/30 | 25.00          |
| 60468    | SG Issuer - HSI R Bull CBBC Nov 2022 C                    | 250,000,000  | 2020/04/15 | 2022/11/29 | 62.50          |
| 60471    | SG Issuer - HSI R Bull CBBC Nov 2022 F                    | 250,000,000  | 2020/04/15 | 2022/11/29 | 62.50          |
| 60473    | SG Issuer - HSI R Bull CBBC Nov 2022 Q                    | 250,000,000  | 2020/04/15 | 2022/11/29 | 62.50          |
| 60477    | SG Issuer - HSI R Bull CBBC Nov 2022 R                    | 500,000,000  | 2020/04/15 | 2022/11/29 | 125.00         |
| 60478    | SG Issuer - HSI R Bull CBBC Jan 2023 G                    | 250,000,000  | 2020/04/15 | 2023/01/30 | 62.50          |
| 60480    | SG Issuer - HSI R Bull CBBC Jan 2023 I                    | 250,000,000  | 2020/04/15 | 2023/01/30 | 62.50          |
| 60481    | SG Issuer - HSI R Bull CBBC Feb 2023 P                    | 250,000,000  | 2020/04/15 | 2023/02/27 | 62.50          |
| 60482    | SG Issuer - HSI R Bull CBBC Feb 2023 R                    | 250,000,000  | 2020/04/15 | 2023/02/27 | 62.50          |
| 60451    | SG Issuer - HSI R Bear CBBC Jul 2020 D                    | 250,000,000  | 2020/04/15 | 2020/07/30 | 62.50          |
| 60457    | SG Issuer - HSI R Bear CBBC Aug 2020 D                    | 250,000,000  | 2020/04/15 | 2020/08/28 | 62.50          |
| 60415    | SG Issuer - HSI R Bear CBBC Oct 2020 B                    | 250,000,000  | 2020/04/15 | 2020/10/29 | 62.50          |
| 60462    | SG Issuer - HSI R Bear CBBC Nov 2020 V                    | 250,000,000  | 2020/04/15 | 2020/11/27 | 62.50          |
| 60465    | SG Issuer - HSI R Bear CBBC Nov 2020 W                    | 250,000,000  | 2020/04/15 | 2020/11/27 | 62.50          |
| 60416    | SG Issuer - HSI R Bear CBBC Jan 2021 W                    | 500,000,000  | 2020/04/15 | 2021/01/28 | 125.00         |
| 60417    | SG Issuer - HSI R Bear CBBC Jan 2021 X                    | 250,000,000  | 2020/04/15 | 2021/01/28 | 62.50          |
| 60452    | SG Issuer - HSI R Bear CBBC Jan 2021 Y                    | 250,000,000  | 2020/04/15 | 2021/01/28 | 62.50          |
| 60466    | SG Issuer - HSI R Bear CBBC Jan 2021 Z                    | 250,000,000  | 2020/04/15 | 2021/01/28 | 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 60436    | SG Issuer - ICBC R Bull CBBC Aug 2021 B                 | 100,000,000  | 2020/04/15 | 2021/08/05 | 25.00          |
| 60438    | SG Issuer - Meituan Dianping R Bull CBBC Oct 2020 I     | 100,000,000  | 2020/04/15 | 2020/10/30 | 25.00          |
| 60413    | SG Issuer - Meituan Dianping R Bear CBBC Oct 2020 G     | 100,000,000  | 2020/04/15 | 2020/10/29 | 25.00          |
| 60489    | SG Issuer - Sino Biopharm R Bull CBBC Dec 2020 A        | 40,000,000   | 2020/04/15 | 2020/12/28 | 10.00          |
| 60439    | SG Issuer - Sunny Optical R Bear CBBC Oct 2020 C        | 60,000,000   | 2020/04/15 | 2020/10/30 | 15.00          |
| 60490    | SG Issuer - Tencent R Bull CBBC Oct 2020 Z              | 80,000,000   | 2020/04/15 | 2020/10/28 | 20.00          |
| 60443    | SG Issuer - Tencent R Bear CBBC Oct 2020 S              | 300,000,000  | 2020/04/15 | 2020/10/29 | 75.00          |
| 60414    | SG Issuer - Tencent R Bear CBBC Dec 2020 T              | 80,000,000   | 2020/04/15 | 2020/12/30 | 20.00          |
| 60121    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 T           | 80,000,000   | 2020/04/15 | 2020/12/21 | 20.00          |
| 60113    | UBS AG - China Mobile R Bull CBBC Dec 2020 F            | 80,000,000   | 2020/04/15 | 2020/12/08 | 20.00          |
| 60123    | UBS AG - Geely Auto R Bull CBBC Dec 2020 E              | 40,000,000   | 2020/04/15 | 2020/12/21 | 10.00          |
| 60122    | UBS AG - HKEX R Bull CBBC Dec 2020 O                    | 50,000,000   | 2020/04/15 | 2020/12/21 | 12.50          |
| 60130    | UBS AG - HSI R Bull CBBC Nov 2022 A                     | 200,000,000  | 2020/04/15 | 2022/11/29 | 50.00          |
| 60131    | UBS AG - HSI R Bull CBBC Nov 2022 E                     | 400,000,000  | 2020/04/15 | 2022/11/29 | 100.00         |
| 60137    | UBS AG - HSI R Bull CBBC Nov 2022 I                     | 200,000,000  | 2020/04/15 | 2022/11/29 | 50.00          |
| 60138    | UBS AG - HSI R Bull CBBC Nov 2022 O                     | 200,000,000  | 2020/04/15 | 2022/11/29 | 50.00          |
| 60140    | UBS AG - HSI R Bull CBBC Nov 2022 X                     | 200,000,000  | 2020/04/15 | 2022/11/29 | 50.00          |
| 60141    | UBS AG - HSI R Bull CBBC Nov 2022 Y                     | 200,000,000  | 2020/04/15 | 2022/11/29 | 50.00          |
| 60091    | UBS AG - HSI R Bear CBBC Oct 2020 C                     | 200,000,000  | 2020/04/15 | 2020/10/29 | 50.00          |
| 60093    | UBS AG - HSI R Bear CBBC Oct 2020 D                     | 200,000,000  | 2020/04/15 | 2020/10/29 | 50.00          |
| 60096    | UBS AG - HSI R Bear CBBC Oct 2020 E                     | 200,000,000  | 2020/04/15 | 2020/10/29 | 50.00          |
| 60097    | UBS AG - HSI R Bear CBBC Oct 2020 M                     | 200,000,000  | 2020/04/15 | 2020/10/29 | 50.00          |
| 60099    | UBS AG - HSI R Bear CBBC Oct 2020 N                     | 200,000,000  | 2020/04/15 | 2020/10/29 | 50.00          |
| 60102    | UBS AG - HSI R Bear CBBC Oct 2020 O                     | 200,000,000  | 2020/04/15 | 2020/10/29 | 50.00          |
| 60066    | UBS AG - HSI R Bear CBBC Jan 2021 F                     | 200,000,000  | 2020/04/15 | 2021/01/28 | 50.00          |
| 60068    | UBS AG - HSI R Bear CBBC Jan 2021 G                     | 200,000,000  | 2020/04/15 | 2021/01/28 | 50.00          |
| 60069    | UBS AG - HSI R Bear CBBC Jan 2021 H                     | 200,000,000  | 2020/04/15 | 2021/01/28 | 50.00          |
| 60142    | UBS AG - HSI R Bear CBBC Jan 2021 I                     | 400,000,000  | 2020/04/15 | 2021/01/28 | 100.00         |
| 60124    | UBS AG - Ping An R Bull CBBC Dec 2020 N                 | 100,000,000  | 2020/04/15 | 2020/12/22 | 25.00          |
| 60106    | UBS AG - Sunny Optical R Bull CBBC Dec 2020 H           | 40,000,000   | 2020/04/15 | 2020/12/21 | 10.00          |
| 60116    | UBS AG - Tencent R Bull CBBC Dec 2020 D                 | 40,000,000   | 2020/04/15 | 2020/12/08 | 10.00          |
| 60082    | UBS AG - Tencent R Bear CBBC Dec 2020 D                 | 40,000,000   | 2020/04/15 | 2020/12/08 | 10.00          |
| 60115    | UBS AG - Xiaomi R Bull CBBC Dec 2020 K                  | 40,000,000   | 2020/04/15 | 2020/12/10 | 10.00          |
| 60396    | Bank Vontobel - China Mobile R Bull CBBC Dec 2020 G     | 40,000,000   | 2020/04/15 | 2020/12/18 | 10.00          |
| 60390    | Bank Vontobel - CNOOC R Bull CBBC Dec 2020 M            | 40,000,000   | 2020/04/15 | 2020/12/11 | 10.00          |
| 60394    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 Q | 60,000,000   | 2020/04/15 | 2020/12/04 | 15.00          |
| 60400    | Bank Vontobel - SHK Ppt R Bull CBBC Dec 2020 E          | 40,000,000   | 2020/04/15 | 2020/12/11 | 10.00          |
| 60395    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 N          | 40,000,000   | 2020/04/15 | 2020/12/18 | 10.00          |
| 60534    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 A   | 60,000,000   | 2020/04/16 | 2020/12/31 | 15.00          |
| 60809    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 P             | 150,000,000  | 2020/04/16 | 2022/12/29 | 37.50          |
| 60813    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 Q             | 150,000,000  | 2020/04/16 | 2022/12/29 | 37.50          |
| 60823    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 R             | 150,000,000  | 2020/04/16 | 2022/12/29 | 37.50          |
| 60517    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 A             | 150,000,000  | 2020/04/16 | 2020/10/29 | 37.50          |
| 60520    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 B             | 150,000,000  | 2020/04/16 | 2020/10/29 | 37.50          |
| 60525    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 C             | 150,000,000  | 2020/04/16 | 2020/10/29 | 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 60528    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 D              | 150,000,000  | 2020/04/16 | 2020/10/29 | 37.50          |
| 60531    | BOCI Asia Ltd. - Link REIT R Bull CBBC Dec 2020 A        | 40,000,000   | 2020/04/16 | 2020/12/31 | 10.00          |
| 60530    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 N          | 40,000,000   | 2020/04/16 | 2020/10/30 | 10.00          |
| 60515    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 L   | 150,000,000  | 2020/04/16 | 2022/12/29 | 37.50          |
| 60536    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 M   | 150,000,000  | 2020/04/16 | 2022/12/29 | 37.50          |
| 60541    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 N   | 150,000,000  | 2020/04/16 | 2022/12/29 | 37.50          |
| 60491    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Q   | 250,000,000  | 2020/04/16 | 2020/12/30 | 62.50          |
| 60535    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 R   | 250,000,000  | 2020/04/16 | 2020/12/30 | 62.50          |
| 60671    | Credit Suisse AG - AAC Tech R Bull CBBC Oct 2020 B       | 80,000,000   | 2020/04/16 | 2020/10/29 | 20.00          |
| 60664    | Credit Suisse AG - AIA R Bull CBBC Sep 2020 F            | 70,000,000   | 2020/04/16 | 2020/09/29 | 17.50          |
| 60691    | Credit Suisse AG - Geely Auto R Bull CBBC Oct 2020 C     | 40,000,000   | 2020/04/16 | 2020/10/29 | 10.00          |
| 60678    | Credit Suisse AG - Galaxy Ent R Bull CBBC Oct 2020 F     | 80,000,000   | 2020/04/16 | 2020/10/29 | 20.00          |
| 60656    | Credit Suisse AG - HKEX R Bull CBBC Sep 2020 F           | 50,000,000   | 2020/04/16 | 2020/09/29 | 12.50          |
| 60652    | Credit Suisse AG - HSBC R Bull CBBC Nov 2020 C           | 70,000,000   | 2020/04/16 | 2020/11/27 | 17.50          |
| 60692    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 D            | 200,000,000  | 2020/04/16 | 2022/11/29 | 50.00          |
| 60693    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 A            | 300,000,000  | 2020/04/16 | 2023/01/30 | 75.00          |
| 60703    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 B            | 300,000,000  | 2020/04/16 | 2023/01/30 | 75.00          |
| 60696    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 A            | 200,000,000  | 2020/04/16 | 2023/02/27 | 50.00          |
| 60699    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 B            | 200,000,000  | 2020/04/16 | 2023/02/27 | 50.00          |
| 60701    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 C            | 200,000,000  | 2020/04/16 | 2023/02/27 | 50.00          |
| 60641    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 S            | 200,000,000  | 2020/04/16 | 2020/10/29 | 50.00          |
| 60645    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 T            | 200,000,000  | 2020/04/16 | 2020/10/29 | 50.00          |
| 60648    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 T            | 200,000,000  | 2020/04/16 | 2020/11/27 | 50.00          |
| 60650    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 U            | 200,000,000  | 2020/04/16 | 2020/11/27 | 50.00          |
| 60649    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 D            | 300,000,000  | 2020/04/16 | 2020/12/30 | 75.00          |
| 60642    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 H            | 300,000,000  | 2020/04/16 | 2020/12/30 | 75.00          |
| 60646    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 I            | 300,000,000  | 2020/04/16 | 2020/12/30 | 75.00          |
| 60672    | Credit Suisse AG - Sunny Optical R Bull CBBC Sep 2020 B  | 40,000,000   | 2020/04/16 | 2020/09/29 | 10.00          |
| 60660    | Credit Suisse AG - Tencent R Bull CBBC Aug 2020 D        | 50,000,000   | 2020/04/16 | 2020/08/28 | 12.50          |
| 60986    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Dec 2020 I | 60,000,000   | 2020/04/16 | 2020/12/30 | 15.00          |
| 60995    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 J     | 160,000,000  | 2020/04/16 | 2022/10/28 | 40.00          |
| 60996    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 L     | 160,000,000  | 2020/04/16 | 2022/10/28 | 40.00          |
| 61001    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 N     | 160,000,000  | 2020/04/16 | 2022/10/28 | 40.00          |
| 61002    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 P     | 160,000,000  | 2020/04/16 | 2022/10/28 | 40.00          |
| 61007    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 R     | 160,000,000  | 2020/04/16 | 2022/10/28 | 40.00          |
| 60963    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 J     | 160,000,000  | 2020/04/16 | 2020/10/29 | 40.00          |
| 60967    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 O     | 160,000,000  | 2020/04/16 | 2020/10/29 | 40.00          |
| 60976    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 P     | 160,000,000  | 2020/04/16 | 2020/10/29 | 40.00          |
| 60979    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 Q     | 160,000,000  | 2020/04/16 | 2020/10/29 | 40.00          |
| 60981    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 S     | 160,000,000  | 2020/04/16 | 2020/10/29 | 40.00          |
| 60990    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 T     | 160,000,000  | 2020/04/16 | 2020/10/29 | 40.00          |
| 60992    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 U     | 160,000,000  | 2020/04/16 | 2020/10/29 | 40.00          |
| 60994    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 V     | 160,000,000  | 2020/04/16 | 2020/10/29 | 40.00          |
| 60957    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 Z     | 160,000,000  | 2020/04/16 | 2020/11/27 | 40.00          |
| 60982    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Dec 2020 C | 60,000,000   | 2020/04/16 | 2020/12/30 | 15.00          |

# 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 60987    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Mar 2021 R    | 80,000,000   | 2020/04/16 | 2021/03/01 | 20.00          |
| 60514    | HK Bank - AAC Tech R Bull CBBC Sep 2020 A                   | 40,000,000   | 2020/04/16 | 2020/09/28 | 10.00          |
| 60501    | HK Bank - Bud Apac R Bull CBBC Nov 2020 C                   | 40,000,000   | 2020/04/16 | 2020/11/09 | 10.00          |
| 60495    | HK Bank - China Tower R Bull CBBC Dec 2020 B                | 40,000,000   | 2020/04/16 | 2020/12/21 | 10.00          |
| 60502    | HK Bank - Geely Auto R Bear CBBC Aug 2020 A                 | 40,000,000   | 2020/04/16 | 2020/08/24 | 10.00          |
| 60510    | HK Bank - HKEX R Bull CBBC Nov 2020 B                       | 40,000,000   | 2020/04/16 | 2020/11/09 | 10.00          |
| 60542    | HK Bank - HSI R Bull CBBC Sep 2022 A                        | 100,000,000  | 2020/04/16 | 2022/09/29 | 25.00          |
| 60505    | HK Bank - HSI R Bull CBBC Sep 2022 L                        | 100,000,000  | 2020/04/16 | 2022/09/29 | 25.00          |
| 60493    | HK Bank - HSI R Bear CBBC Sep 2020 P                        | 100,000,000  | 2020/04/16 | 2020/09/29 | 25.00          |
| 60509    | HK Bank - HSI R Bear CBBC Sep 2020 Q                        | 100,000,000  | 2020/04/16 | 2020/09/29 | 25.00          |
| 60506    | HK Bank - Sunny Optical R Bull CBBC Sep 2020 B              | 40,000,000   | 2020/04/16 | 2020/09/28 | 10.00          |
| 60500    | HK Bank - Tencent R Bull CBBC Aug 2020 G                    | 40,000,000   | 2020/04/16 | 2020/08/24 | 10.00          |
| 60802    | Haitong Int'l Sec - AIA R Bull CBBC Aug 2020 B              | 40,000,000   | 2020/04/16 | 2020/08/25 | 10.00          |
| 60807    | Haitong Int'l Sec - CNOOC R Bull CBBC Nov 2020 B            | 40,000,000   | 2020/04/16 | 2020/11/30 | 10.00          |
| 60800    | Haitong Int'l Sec - HKEX R Bull CBBC Nov 2020 B             | 40,000,000   | 2020/04/16 | 2020/11/23 | 10.00          |
| 60787    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 Q              | 150,000,000  | 2020/04/16 | 2023/01/30 | 37.50          |
| 60794    | Haitong Int'l Sec - HSI R Bull CBBC Feb 2023 T              | 150,000,000  | 2020/04/16 | 2023/02/27 | 37.50          |
| 60792    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 B              | 150,000,000  | 2020/04/16 | 2023/03/30 | 37.50          |
| 60777    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 Q              | 150,000,000  | 2020/04/16 | 2020/11/27 | 37.50          |
| 60782    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 H              | 150,000,000  | 2020/04/16 | 2020/12/30 | 37.50          |
| 60784    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 I              | 150,000,000  | 2020/04/16 | 2020/12/30 | 37.50          |
| 60796    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 J              | 150,000,000  | 2020/04/16 | 2020/12/30 | 37.50          |
| 60795    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 K              | 150,000,000  | 2020/04/16 | 2021/01/28 | 37.50          |
| 60805    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Oct 2020 G | 40,000,000   | 2020/04/16 | 2020/10/23 | 10.00          |
| 60803    | Haitong Int'l Sec - Tencent R Bull CBBC Oct 2020 N          | 40,000,000   | 2020/04/16 | 2020/10/23 | 10.00          |
| 60783    | Haitong Int'l Sec - Tencent R Bear CBBC Oct 2020 K          | 40,000,000   | 2020/04/16 | 2020/10/23 | 10.00          |
| 60736    | J P Morgan SP BV - HSCEI R Bull CBBC Dec 2021 K             | 200,000,000  | 2020/04/16 | 2021/12/30 | 50.00          |
| 60709    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 Z               | 200,000,000  | 2020/04/16 | 2022/10/28 | 50.00          |
| 60710    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 B               | 200,000,000  | 2020/04/16 | 2022/12/29 | 50.00          |
| 60711    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 T               | 200,000,000  | 2020/04/16 | 2023/01/30 | 50.00          |
| 60717    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 U               | 200,000,000  | 2020/04/16 | 2023/01/30 | 50.00          |
| 60729    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 V               | 400,000,000  | 2020/04/16 | 2023/01/30 | 100.00         |
| 60712    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 I               | 240,000,000  | 2020/04/16 | 2023/02/27 | 60.00          |
| 60722    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 J               | 200,000,000  | 2020/04/16 | 2023/02/27 | 50.00          |
| 60735    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 K               | 200,000,000  | 2020/04/16 | 2023/02/27 | 50.00          |
| 60544    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 G               | 200,000,000  | 2020/04/16 | 2020/10/29 | 50.00          |
| 60704    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 I               | 400,000,000  | 2020/04/16 | 2020/10/29 | 100.00         |
| 60547    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 A               | 400,000,000  | 2020/04/16 | 2020/11/27 | 100.00         |
| 60705    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 B               | 200,000,000  | 2020/04/16 | 2020/11/27 | 50.00          |
| 60557    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 C               | 200,000,000  | 2020/04/16 | 2020/11/27 | 50.00          |
| 60706    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 D               | 240,000,000  | 2020/04/16 | 2020/11/27 | 60.00          |
| 60708    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 N               | 240,000,000  | 2020/04/16 | 2020/12/30 | 60.00          |
| 60577    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Aug 2020 G  | 80,000,000   | 2020/04/16 | 2020/08/14 | 20.00          |
| 60575    | J P Morgan SP BV - Tencent R Bull CBBC Aug 2020 L           | 50,000,000   | 2020/04/16 | 2020/08/14 | 12.50          |
| 60747    | Morgan Stanley Asia Products - HSI R Bull CBBC Jul 2022 G   | 200,000,000  | 2020/04/16 | 2022/07/28 | 50.00          |

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| 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) |
|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 60749    | Morgan Stanley Asia Products - HSI R Bull CBBC Oct 2022 Z | 150,000,000  | 2020/04/16 | 2022/10/28 | 37.50          |
| 60751    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 D | 150,000,000  | 2020/04/16 | 2022/11/29 | 37.50          |
| 60748    | Morgan Stanley Asia Products - HSI R Bull CBBC Dec 2022 G | 150,000,000  | 2020/04/16 | 2022/12/29 | 37.50          |
| 60745    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 Q | 150,000,000  | 2020/04/16 | 2020/08/28 | 37.50          |
| 60741    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 K | 150,000,000  | 2020/04/16 | 2020/09/29 | 37.50          |
| 60743    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 K | 150,000,000  | 2020/04/16 | 2020/10/29 | 37.50          |
| 60738    | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 B | 150,000,000  | 2020/04/16 | 2020/11/27 | 37.50          |
| 60884    | SG Issuer - AAC Tech R Bull CBBC Dec 2020 I               | 100,000,000  | 2020/04/16 | 2020/12/30 | 25.00          |
| 60896    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 P          | 80,000,000   | 2020/04/16 | 2020/10/29 | 20.00          |
| 60897    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 J          | 200,000,000  | 2020/04/16 | 2020/12/30 | 50.00          |
| 60898    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 R          | 200,000,000  | 2020/04/16 | 2020/12/30 | 50.00          |
| 60824    | SG Issuer - China Mobile R Bull CBBC Dec 2020 J           | 100,000,000  | 2020/04/16 | 2020/12/30 | 25.00          |
| 60902    | SG Issuer - China Life R Bull CBBC Feb 2021 G             | 150,000,000  | 2020/04/16 | 2021/02/25 | 37.50          |
| 60905    | SG Issuer - Galaxy Ent R Bull CBBC Dec 2020 M             | 100,000,000  | 2020/04/16 | 2020/12/30 | 25.00          |
| 60848    | SG Issuer - Galaxy Ent R Bear CBBC Dec 2020 A             | 100,000,000  | 2020/04/16 | 2020/12/30 | 25.00          |
| 60914    | SG Issuer - HSBC R Bull CBBC Apr 2021 E                   | 100,000,000  | 2020/04/16 | 2021/04/28 | 25.00          |
| 60869    | SG Issuer - HSI R Bull CBBC Sep 2022 C                    | 250,000,000  | 2020/04/16 | 2022/09/29 | 62.50          |
| 60875    | SG Issuer - HSI R Bull CBBC Oct 2022 P                    | 250,000,000  | 2020/04/16 | 2022/10/28 | 62.50          |
| 60873    | SG Issuer - HSI R Bull CBBC Oct 2022 Q                    | 250,000,000  | 2020/04/16 | 2022/10/28 | 62.50          |
| 60882    | SG Issuer - HSI R Bull CBBC Nov 2022 D                    | 250,000,000  | 2020/04/16 | 2022/11/29 | 62.50          |
| 60879    | SG Issuer - HSI R Bull CBBC Nov 2022 W                    | 250,000,000  | 2020/04/16 | 2022/11/29 | 62.50          |
| 60841    | SG Issuer - HSI R Bull CBBC Jan 2023 V                    | 250,000,000  | 2020/04/16 | 2023/01/30 | 62.50          |
| 60834    | SG Issuer - HSI R Bear CBBC Jul 2020 M                    | 250,000,000  | 2020/04/16 | 2020/07/30 | 62.50          |
| 60840    | SG Issuer - HSI R Bear CBBC Aug 2020 H                    | 250,000,000  | 2020/04/16 | 2020/08/28 | 62.50          |
| 60842    | SG Issuer - HSI R Bear CBBC Sep 2020 B                    | 500,000,000  | 2020/04/16 | 2020/09/29 | 125.00         |
| 60843    | SG Issuer - HSI R Bear CBBC Sep 2020 F                    | 250,000,000  | 2020/04/16 | 2020/09/29 | 62.50          |
| 60844    | SG Issuer - HSI R Bear CBBC Oct 2020 C                    | 250,000,000  | 2020/04/16 | 2020/10/29 | 62.50          |
| 60847    | SG Issuer - HSI R Bear CBBC Oct 2020 E                    | 250,000,000  | 2020/04/16 | 2020/10/29 | 62.50          |
| 60853    | SG Issuer - HSI R Bear CBBC Nov 2020 X                    | 250,000,000  | 2020/04/16 | 2020/11/27 | 62.50          |
| 60854    | SG Issuer - HSI R Bear CBBC Nov 2020 Y                    | 250,000,000  | 2020/04/16 | 2020/11/27 | 62.50          |
| 60857    | SG Issuer - HSI R Bear CBBC Dec 2020 W                    | 250,000,000  | 2020/04/16 | 2020/12/30 | 62.50          |
| 60859    | SG Issuer - HSI R Bear CBBC Dec 2020 X                    | 250,000,000  | 2020/04/16 | 2020/12/30 | 62.50          |
| 60860    | SG Issuer - HSI R Bear CBBC Dec 2020 Y                    | 500,000,000  | 2020/04/16 | 2020/12/30 | 125.00         |
| 60915    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 Q       | 100,000,000  | 2020/04/16 | 2020/12/30 | 25.00          |
| 60921    | SG Issuer - Ping An R Bull CBBC Dec 2020 W                | 100,000,000  | 2020/04/16 | 2020/12/30 | 25.00          |
| 60941    | SG Issuer - SUNAC R Bull CBBC Dec 2020 F                  | 80,000,000   | 2020/04/16 | 2020/12/30 | 20.00          |
| 60947    | SG Issuer - Sunny Optical R Bear CBBC Oct 2020 D          | 60,000,000   | 2020/04/16 | 2020/10/29 | 15.00          |
| 60949    | SG Issuer - Tencent R Bull CBBC Oct 2020 A                | 80,000,000   | 2020/04/16 | 2020/10/28 | 20.00          |
| 60952    | SG Issuer - Tencent R Bull CBBC Oct 2020 B                | 80,000,000   | 2020/04/16 | 2020/10/30 | 20.00          |
| 60850    | SG Issuer - Tencent R Bear CBBC Nov 2020 V                | 80,000,000   | 2020/04/16 | 2020/11/27 | 20.00          |
| 60828    | SG Issuer - Tencent R Bear CBBC Dec 2020 F                | 80,000,000   | 2020/04/16 | 2020/12/30 | 20.00          |
| 60956    | SG Issuer - Tencent R Bear CBBC Dec 2020 U                | 80,000,000   | 2020/04/16 | 2020/12/30 | 20.00          |
| 60830    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 C                 | 60,000,000   | 2020/04/16 | 2020/12/30 | 15.00          |
| 60632    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 U             | 80,000,000   | 2020/04/16 | 2020/12/31 | 20.00          |
| 60611    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 Q             | 80,000,000   | 2020/04/16 | 2020/12/23 | 20.00          |

# 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 60627    | UBS AG - HSI R Bull CBBC Mar 2023 C                         | 200,000,000  | 2020/04/16 | 2023/03/30 | 50.00          |
| 60629    | UBS AG - HSI R Bull CBBC Mar 2023 D                         | 200,000,000  | 2020/04/16 | 2023/03/30 | 50.00          |
| 60630    | UBS AG - HSI R Bull CBBC Mar 2023 S                         | 200,000,000  | 2020/04/16 | 2023/03/30 | 50.00          |
| 60625    | UBS AG - HSI R Bull CBBC Mar 2023 Z                         | 200,000,000  | 2020/04/16 | 2023/03/30 | 50.00          |
| 60587    | UBS AG - HSI R Bear CBBC Jul 2020 O                         | 200,000,000  | 2020/04/16 | 2020/07/30 | 50.00          |
| 60608    | UBS AG - HSI R Bear CBBC Jul 2020 P                         | 200,000,000  | 2020/04/16 | 2020/07/30 | 50.00          |
| 60619    | UBS AG - HSI R Bear CBBC Jul 2020 Q                         | 200,000,000  | 2020/04/16 | 2020/07/30 | 50.00          |
| 60584    | UBS AG - HSI R Bear CBBC Sep 2020 Q                         | 200,000,000  | 2020/04/16 | 2020/09/29 | 50.00          |
| 60594    | UBS AG - HSI R Bear CBBC Sep 2020 S                         | 200,000,000  | 2020/04/16 | 2020/09/29 | 50.00          |
| 60578    | UBS AG - HSI R Bear CBBC Sep 2020 X                         | 200,000,000  | 2020/04/16 | 2020/09/29 | 50.00          |
| 60599    | UBS AG - HSI R Bear CBBC Sep 2020 Z                         | 200,000,000  | 2020/04/16 | 2020/09/29 | 50.00          |
| 60600    | UBS AG - HSI R Bear CBBC Nov 2020 Q                         | 200,000,000  | 2020/04/16 | 2020/11/27 | 50.00          |
| 60583    | UBS AG - HSI R Bear CBBC Jan 2021 J                         | 400,000,000  | 2020/04/16 | 2021/01/28 | 100.00         |
| 60579    | UBS AG - HSI R Bear CBBC Feb 2021 A                         | 200,000,000  | 2020/04/16 | 2021/02/25 | 50.00          |
| 60635    | UBS AG - Meituan Dianping R Bull CBBC Dec 2020 U            | 50,000,000   | 2020/04/16 | 2020/12/10 | 12.50          |
| 60631    | UBS AG - Tencent R Bull CBBC Dec 2020 E                     | 40,000,000   | 2020/04/16 | 2020/12/22 | 10.00          |
| 60609    | UBS AG - Tencent R Bear CBBC Dec 2020 E                     | 40,000,000   | 2020/04/16 | 2020/12/16 | 10.00          |
| 60763    | Bank Vontobel - AIA R Bull CBBC Dec 2020 G                  | 40,000,000   | 2020/04/16 | 2020/12/11 | 10.00          |
| 60761    | Bank Vontobel - HSBC R Bull CBBC Dec 2020 H                 | 40,000,000   | 2020/04/16 | 2020/12/04 | 10.00          |
| 60774    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 O     | 60,000,000   | 2020/04/16 | 2020/12/04 | 15.00          |
| 60769    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 R     | 60,000,000   | 2020/04/16 | 2020/12/18 | 15.00          |
| 60773    | Bank Vontobel - SUNAC R Bull CBBC Dec 2020 I                | 40,000,000   | 2020/04/16 | 2020/12/11 | 10.00          |
| 60758    | Bank Vontobel - Tencent R Bull CBBC Dec 2020 V              | 40,000,000   | 2020/04/16 | 2020/12/11 | 10.00          |
| 61045    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 S                 | 150,000,000  | 2020/04/17 | 2022/12/29 | 37.50          |
| 61046    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 T                 | 150,000,000  | 2020/04/17 | 2022/12/29 | 37.50          |
| 61053    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 E                 | 150,000,000  | 2020/04/17 | 2020/10/29 | 37.50          |
| 61054    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 F                 | 150,000,000  | 2020/04/17 | 2020/10/29 | 37.50          |
| 61166    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 C               | 200,000,000  | 2020/04/17 | 2023/01/30 | 50.00          |
| 61168    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 D               | 200,000,000  | 2020/04/17 | 2023/01/30 | 50.00          |
| 61172    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 E               | 200,000,000  | 2020/04/17 | 2023/01/30 | 50.00          |
| 61165    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 D               | 200,000,000  | 2020/04/17 | 2023/02/27 | 50.00          |
| 61167    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 E               | 200,000,000  | 2020/04/17 | 2023/02/27 | 50.00          |
| 61173    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 E               | 200,000,000  | 2020/04/17 | 2020/09/29 | 50.00          |
| 61179    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 U               | 200,000,000  | 2020/04/17 | 2020/10/29 | 50.00          |
| 61177    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 V               | 200,000,000  | 2020/04/17 | 2020/11/27 | 50.00          |
| 61178    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 W               | 200,000,000  | 2020/04/17 | 2020/11/27 | 50.00          |
| 61313    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Dec 2020 J    | 60,000,000   | 2020/04/17 | 2020/12/30 | 15.00          |
| 61312    | Goldman Sachs SP (Asia) - Galaxy Ent R Bull CBBC Dec 2020 E | 60,000,000   | 2020/04/17 | 2020/12/30 | 15.00          |
| 61294    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 S        | 160,000,000  | 2020/04/17 | 2022/10/28 | 40.00          |
| 61297    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 T        | 160,000,000  | 2020/04/17 | 2022/10/28 | 40.00          |
| 61299    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 U        | 160,000,000  | 2020/04/17 | 2022/10/28 | 40.00          |
| 61307    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 V        | 160,000,000  | 2020/04/17 | 2022/10/28 | 40.00          |
| 61309    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 W        | 160,000,000  | 2020/04/17 | 2022/10/28 | 40.00          |
| 61310    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 X        | 160,000,000  | 2020/04/17 | 2022/10/28 | 40.00          |
| 61302    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 K        | 160,000,000  | 2020/04/17 | 2020/10/29 | 40.00          |

# 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 61303    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 R         | 160,000,000  | 2020/04/17 | 2020/10/29 | 40.00          |
| 61301    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 W         | 160,000,000  | 2020/04/17 | 2020/10/29 | 40.00          |
| 61306    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 X         | 160,000,000  | 2020/04/17 | 2020/10/29 | 40.00          |
| 61300    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 T         | 160,000,000  | 2020/04/17 | 2020/12/30 | 40.00          |
| 61315    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 B     | 60,000,000   | 2020/04/17 | 2020/10/28 | 15.00          |
| 61038    | HK Bank - Alibaba Group R Bull CBBC Sep 2020 G               | 40,000,000   | 2020/04/17 | 2020/09/07 | 10.00          |
| 61030    | HK Bank - CNOOC R Bear CBBC Aug 2020 B                       | 40,000,000   | 2020/04/17 | 2020/08/13 | 10.00          |
| 61024    | HK Bank - Galaxy Ent R Bull CBBC Dec 2020 A                  | 60,000,000   | 2020/04/17 | 2020/12/07 | 15.00          |
| 61023    | HK Bank - HSI R Bull CBBC Sep 2022 P                         | 100,000,000  | 2020/04/17 | 2022/09/29 | 25.00          |
| 61032    | HK Bank - HSI R Bear CBBC Sep 2020 R                         | 100,000,000  | 2020/04/17 | 2020/09/29 | 25.00          |
| 61040    | HK Bank - Meituan Dianping R Bull CBBC Aug 2020 I            | 40,000,000   | 2020/04/17 | 2020/08/24 | 10.00          |
| 61025    | HK Bank - SHK Ppt R Bull CBBC Aug 2020 B                     | 40,000,000   | 2020/04/17 | 2020/08/24 | 10.00          |
| 61041    | HK Bank - SUNAC R Bear CBBC Aug 2020 A                       | 40,000,000   | 2020/04/17 | 2020/08/17 | 10.00          |
| 61027    | HK Bank - Tencent R Bull CBBC Sep 2020 G                     | 100,000,000  | 2020/04/17 | 2020/09/24 | 25.00          |
| 61158    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 R               | 150,000,000  | 2020/04/17 | 2023/01/30 | 37.50          |
| 61159    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 S               | 150,000,000  | 2020/04/17 | 2023/01/30 | 37.50          |
| 61163    | Haitong Int'l Sec - HSI R Bull CBBC Feb 2023 U               | 150,000,000  | 2020/04/17 | 2023/02/27 | 37.50          |
| 61160    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 R               | 150,000,000  | 2020/04/17 | 2020/11/27 | 37.50          |
| 61161    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 L               | 150,000,000  | 2020/04/17 | 2021/01/28 | 37.50          |
| 61162    | Haitong Int'l Sec - Tencent R Bear CBBC Oct 2020 L           | 40,000,000   | 2020/04/17 | 2020/10/23 | 10.00          |
| 61135    | J P Morgan SP BV - HKEX R Bull CBBC Aug 2020 B               | 40,000,000   | 2020/04/17 | 2020/08/21 | 10.00          |
| 61128    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 W                | 200,000,000  | 2020/04/17 | 2023/01/30 | 50.00          |
| 61150    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 X                | 200,000,000  | 2020/04/17 | 2023/01/30 | 50.00          |
| 61153    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 Y                | 240,000,000  | 2020/04/17 | 2023/01/30 | 60.00          |
| 61134    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 L                | 200,000,000  | 2020/04/17 | 2023/02/27 | 50.00          |
| 61152    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 M                | 400,000,000  | 2020/04/17 | 2023/02/27 | 100.00         |
| 61156    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 N                | 200,000,000  | 2020/04/17 | 2023/02/27 | 50.00          |
| 61157    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 O                | 200,000,000  | 2020/04/17 | 2023/02/27 | 50.00          |
| 61140    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 K                | 200,000,000  | 2020/04/17 | 2020/10/29 | 50.00          |
| 61141    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 M                | 200,000,000  | 2020/04/17 | 2020/11/27 | 50.00          |
| 61142    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 G                | 400,000,000  | 2020/04/17 | 2020/12/30 | 100.00         |
| 61144    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 K                | 400,000,000  | 2020/04/17 | 2020/12/30 | 100.00         |
| 61146    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 Q                | 200,000,000  | 2020/04/17 | 2020/12/30 | 50.00          |
| 61148    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 U                | 200,000,000  | 2020/04/17 | 2020/12/30 | 50.00          |
| 61009    | Morgan Stanley Asia Products - HSBC R Bull CBBC Nov 2020 A   | 40,000,000   | 2020/04/17 | 2020/11/02 | 10.00          |
| 61016    | Morgan Stanley Asia Products - HSBC R Bull CBBC Dec 2020 A   | 40,000,000   | 2020/04/17 | 2020/12/01 | 10.00          |
| 61013    | Morgan Stanley Asia Products - HSBC R Bull CBBC Jan 2021 A   | 40,000,000   | 2020/04/17 | 2021/01/04 | 10.00          |
| 61018    | Morgan Stanley Asia Products - HSBC R Bear CBBC Oct 2020 A   | 40,000,000   | 2020/04/17 | 2020/10/05 | 10.00          |
| 61017    | Morgan Stanley Asia Products - HSBC R Bear CBBC Dec 2020 A   | 40,000,000   | 2020/04/17 | 2020/12/01 | 10.00          |
| 61020    | Morgan Stanley Asia Products - HSBC R Bear CBBC Dec 2020 B   | 40,000,000   | 2020/04/17 | 2020/12/15 | 10.00          |
| 61043    | Morgan Stanley Asia Products - Xiaomi R Bull CBBC Dec 2020 B | 40,000,000   | 2020/04/17 | 2020/12/21 | 10.00          |
| 61180    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 P             | 80,000,000   | 2020/04/17 | 2020/09/28 | 20.00          |
| 61222    | SG Issuer - HKEX R Bull CBBC Apr 2021 A                      | 200,000,000  | 2020/04/17 | 2021/04/29 | 50.00          |
| 61245    | SG Issuer - HSI R Bull CBBC Sep 2022 D                       | 250,000,000  | 2020/04/17 | 2022/09/29 | 62.50          |
| 61252    | SG Issuer - HSI R Bull CBBC Sep 2022 E                       | 250,000,000  | 2020/04/17 | 2022/09/29 | 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) |
|----------|-----------------------------------------------------|--------------|------------|------------|----------------|
| 61253    | SG Issuer - HSI R Bull CBBC Sep 2022 F              | 250,000,000  | 2020/04/17 | 2022/09/29 | 62.50          |
| 61254    | SG Issuer - HSI R Bull CBBC Sep 2022 G              | 250,000,000  | 2020/04/17 | 2022/09/29 | 62.50          |
| 61271    | SG Issuer - HSI R Bull CBBC Sep 2022 H              | 500,000,000  | 2020/04/17 | 2022/09/29 | 125.00         |
| 61232    | SG Issuer - HSI R Bull CBBC Oct 2022 J              | 250,000,000  | 2020/04/17 | 2022/10/28 | 62.50          |
| 61235    | SG Issuer - HSI R Bull CBBC Oct 2022 R              | 250,000,000  | 2020/04/17 | 2022/10/28 | 62.50          |
| 61201    | SG Issuer - HSI R Bull CBBC Dec 2022 C              | 250,000,000  | 2020/04/17 | 2022/12/29 | 62.50          |
| 61202    | SG Issuer - HSI R Bull CBBC Dec 2022 I              | 250,000,000  | 2020/04/17 | 2022/12/29 | 62.50          |
| 61205    | SG Issuer - HSI R Bull CBBC Jan 2023 W              | 500,000,000  | 2020/04/17 | 2023/01/30 | 125.00         |
| 61214    | SG Issuer - HSI R Bull CBBC Jan 2023 X              | 250,000,000  | 2020/04/17 | 2023/01/30 | 62.50          |
| 61279    | SG Issuer - HSI R Bear CBBC Jul 2020 O              | 250,000,000  | 2020/04/17 | 2020/07/30 | 62.50          |
| 61281    | SG Issuer - HSI R Bear CBBC Aug 2020 L              | 250,000,000  | 2020/04/17 | 2020/08/28 | 62.50          |
| 61285    | SG Issuer - HSI R Bear CBBC Aug 2020 V              | 250,000,000  | 2020/04/17 | 2020/08/28 | 62.50          |
| 61288    | SG Issuer - HSI R Bear CBBC Aug 2020 X              | 250,000,000  | 2020/04/17 | 2020/08/28 | 62.50          |
| 61291    | SG Issuer - HSI R Bear CBBC Oct 2020 F              | 250,000,000  | 2020/04/17 | 2020/10/29 | 62.50          |
| 61185    | SG Issuer - Link REIT R Bear CBBC Dec 2020 A        | 60,000,000   | 2020/04/17 | 2020/12/30 | 15.00          |
| 61223    | SG Issuer - Meituan Dianping R Bear CBBC Oct 2020 H | 100,000,000  | 2020/04/17 | 2020/10/29 | 25.00          |
| 61227    | SG Issuer - SHK Ppt R Bull CBBC Dec 2020 E          | 100,000,000  | 2020/04/17 | 2020/12/31 | 25.00          |
| 61186    | SG Issuer - Tencent R Bull CBBC Aug 2020 J          | 80,000,000   | 2020/04/17 | 2020/08/31 | 20.00          |
| 61195    | SG Issuer - Tencent R Bull CBBC Feb 2021 B          | 300,000,000  | 2020/04/17 | 2021/02/25 | 75.00          |
| 61231    | SG Issuer - Tencent R Bear CBBC Feb 2021 G          | 80,000,000   | 2020/04/17 | 2021/02/26 | 20.00          |
| 61127    | UBS AG - Alibaba Group R Bull CBBC Jan 2023 A       | 400,000,000  | 2020/04/17 | 2023/01/30 | 100.00         |
| 61065    | UBS AG - HSI R Bull CBBC Oct 2022 D                 | 200,000,000  | 2020/04/17 | 2022/10/28 | 50.00          |
| 61072    | UBS AG - HSI R Bull CBBC Oct 2022 F                 | 200,000,000  | 2020/04/17 | 2022/10/28 | 50.00          |
| 61070    | UBS AG - HSI R Bull CBBC Oct 2022 W                 | 400,000,000  | 2020/04/17 | 2022/10/28 | 100.00         |
| 61076    | UBS AG - HSI R Bull CBBC Feb 2023 O                 | 200,000,000  | 2020/04/17 | 2023/02/27 | 50.00          |
| 61079    | UBS AG - HSI R Bull CBBC Feb 2023 U                 | 200,000,000  | 2020/04/17 | 2023/02/27 | 50.00          |
| 61098    | UBS AG - HSI R Bull CBBC Sep 2023 A                 | 400,000,000  | 2020/04/17 | 2023/09/28 | 100.00         |
| 61099    | UBS AG - HSI R Bull CBBC Sep 2023 B                 | 200,000,000  | 2020/04/17 | 2023/09/28 | 50.00          |
| 61102    | UBS AG - HSI R Bull CBBC Sep 2023 C                 | 200,000,000  | 2020/04/17 | 2023/09/28 | 50.00          |
| 61103    | UBS AG - HSI R Bull CBBC Sep 2023 D                 | 200,000,000  | 2020/04/17 | 2023/09/28 | 50.00          |
| 61117    | UBS AG - HSI R Bear CBBC Jul 2020 T                 | 200,000,000  | 2020/04/17 | 2020/07/30 | 50.00          |
| 61083    | UBS AG - HSI R Bear CBBC Oct 2020 H                 | 200,000,000  | 2020/04/17 | 2020/10/29 | 50.00          |
| 61084    | UBS AG - HSI R Bear CBBC Oct 2020 I                 | 200,000,000  | 2020/04/17 | 2020/10/29 | 50.00          |
| 61081    | UBS AG - HSI R Bear CBBC Oct 2020 P                 | 200,000,000  | 2020/04/17 | 2020/10/29 | 50.00          |
| 61111    | UBS AG - HSI R Bear CBBC Nov 2020 R                 | 200,000,000  | 2020/04/17 | 2020/11/27 | 50.00          |
| 61097    | UBS AG - HSI R Bear CBBC Jan 2021 K                 | 400,000,000  | 2020/04/17 | 2021/01/28 | 100.00         |
| 61109    | UBS AG - HSI R Bear CBBC Jan 2021 L                 | 200,000,000  | 2020/04/17 | 2021/01/28 | 50.00          |
| 61126    | UBS AG - Tencent R Bull CBBC Jan 2023 A             | 200,000,000  | 2020/04/17 | 2023/01/30 | 50.00          |
| 61378    | BOCI Asia Ltd. - Galaxy Ent R Bull CBBC Oct 2020 I  | 100,000,000  | 2020/04/20 | 2020/10/30 | 25.00          |
| 61379    | BOCI Asia Ltd. - Galaxy Ent R Bull CBBC Oct 2020 J  | 100,000,000  | 2020/04/20 | 2020/10/30 | 25.00          |
| 61381    | BOCI Asia Ltd. - HKEX R Bull CBBC Oct 2020 A        | 40,000,000   | 2020/04/20 | 2020/10/30 | 10.00          |
| 61360    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 U         | 150,000,000  | 2020/04/20 | 2022/12/29 | 37.50          |
| 61366    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 G         | 150,000,000  | 2020/04/20 | 2020/10/29 | 37.50          |
| 61382    | BOCI Asia Ltd. - Tencent R Bear CBBC Oct 2020 J     | 40,000,000   | 2020/04/20 | 2020/10/30 | 10.00          |
| 61400    | Credit Suisse AG - AAC Tech R Bull CBBC Dec 2020 B  | 80,000,000   | 2020/04/20 | 2020/12/30 | 20.00          |

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| 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 61407    | Credit Suisse AG - CC Bank R Bull CBBC Dec 2020 B        | 100,000,000  | 2020/04/20 | 2020/12/30 | 25.00          |
| 61397    | Credit Suisse AG - CSPC Pharma R Bull CBBC Dec 2020 B    | 100,000,000  | 2020/04/20 | 2020/12/30 | 25.00          |
| 61422    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 F            | 200,000,000  | 2020/04/20 | 2023/01/30 | 50.00          |
| 61427    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 G            | 200,000,000  | 2020/04/20 | 2023/01/30 | 50.00          |
| 61428    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 F            | 200,000,000  | 2020/04/20 | 2023/02/27 | 50.00          |
| 61431    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 G            | 200,000,000  | 2020/04/20 | 2023/02/27 | 50.00          |
| 61386    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 V            | 200,000,000  | 2020/04/20 | 2020/10/29 | 50.00          |
| 61418    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 W            | 200,000,000  | 2020/04/20 | 2020/10/29 | 50.00          |
| 61388    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 X            | 200,000,000  | 2020/04/20 | 2020/11/27 | 50.00          |
| 61385    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 J            | 300,000,000  | 2020/04/20 | 2020/12/30 | 75.00          |
| 61394    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 K            | 300,000,000  | 2020/04/20 | 2020/12/30 | 75.00          |
| 61724    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Dec 2020 K | 60,000,000   | 2020/04/20 | 2020/12/30 | 15.00          |
| 61760    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 L     | 160,000,000  | 2020/04/20 | 2022/12/29 | 40.00          |
| 61769    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 M     | 160,000,000  | 2020/04/20 | 2022/12/29 | 40.00          |
| 61771    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 N     | 160,000,000  | 2020/04/20 | 2022/12/29 | 40.00          |
| 61775    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 X     | 160,000,000  | 2020/04/20 | 2022/12/29 | 40.00          |
| 61744    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jan 2023 Q     | 160,000,000  | 2020/04/20 | 2023/01/30 | 40.00          |
| 61740    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 Y     | 160,000,000  | 2020/04/20 | 2020/10/29 | 40.00          |
| 61741    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 Z     | 160,000,000  | 2020/04/20 | 2020/10/29 | 40.00          |
| 61719    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 B     | 160,000,000  | 2020/04/20 | 2020/11/27 | 40.00          |
| 61720    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 D     | 160,000,000  | 2020/04/20 | 2020/11/27 | 40.00          |
| 61721    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 E     | 160,000,000  | 2020/04/20 | 2020/11/27 | 40.00          |
| 61734    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 L     | 160,000,000  | 2020/04/20 | 2020/11/27 | 40.00          |
| 61737    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 N     | 160,000,000  | 2020/04/20 | 2020/11/27 | 40.00          |
| 61739    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 O     | 160,000,000  | 2020/04/20 | 2020/11/27 | 40.00          |
| 61726    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 C | 60,000,000   | 2020/04/20 | 2020/10/28 | 15.00          |
| 61322    | HK Bank - CAM CSI300 R Bull CBBC Oct 2020 B              | 40,000,000   | 2020/04/20 | 2020/10/05 | 10.00          |
| 61358    | HK Bank - CSPC Pharma R Bull CBBC Sep 2020 A             | 40,000,000   | 2020/04/20 | 2020/09/21 | 11.20          |
| 61343    | HK Bank - Galaxy Ent R Bull CBBC Nov 2020 D              | 60,000,000   | 2020/04/20 | 2020/11/02 | 15.00          |
| 61349    | HK Bank - HKEEX R Bull CBBC Oct 2020 D                   | 40,000,000   | 2020/04/20 | 2020/10/08 | 10.00          |
| 61317    | HK Bank - HSI R Bull CBBC Sep 2022 S                     | 100,000,000  | 2020/04/20 | 2022/09/29 | 25.00          |
| 61321    | HK Bank - HSI R Bear CBBC Sep 2020 S                     | 100,000,000  | 2020/04/20 | 2020/09/29 | 25.00          |
| 61324    | HK Bank - Sino Biopharm R Bull CBBC Nov 2020 A           | 40,000,000   | 2020/04/20 | 2020/11/02 | 10.00          |
| 61347    | HK Bank - SUNAC R Bull CBBC Sep 2020 E                   | 40,000,000   | 2020/04/20 | 2020/09/28 | 10.00          |
| 61355    | HK Bank - Tencent R Bull CBBC Oct 2020 B                 | 40,000,000   | 2020/04/20 | 2020/10/08 | 10.00          |
| 61594    | Haitong Int'l Sec - Galaxy Ent R Bull CBBC Dec 2020 C    | 40,000,000   | 2020/04/20 | 2020/12/18 | 10.00          |
| 61580    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 A           | 150,000,000  | 2020/04/20 | 2022/12/29 | 37.50          |
| 61583    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 L           | 150,000,000  | 2020/04/20 | 2022/12/29 | 37.50          |
| 61591    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 T           | 150,000,000  | 2020/04/20 | 2023/01/30 | 37.50          |
| 61564    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 S           | 150,000,000  | 2020/04/20 | 2020/11/27 | 37.50          |
| 61559    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 K           | 150,000,000  | 2020/04/20 | 2020/12/30 | 37.50          |
| 61565    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 L           | 150,000,000  | 2020/04/20 | 2020/12/30 | 37.50          |
| 61558    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 M           | 150,000,000  | 2020/04/20 | 2021/01/28 | 37.50          |
| 61593    | Haitong Int'l Sec - Tencent R Bull CBBC Aug 2020 T       | 40,000,000   | 2020/04/20 | 2020/08/18 | 10.00          |
| 61496    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 P            | 200,000,000  | 2020/04/20 | 2023/02/27 | 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) |
|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 61500    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Q             | 400,000,000  | 2020/04/20 | 2023/02/27 | 100.00         |
| 61504    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 R             | 200,000,000  | 2020/04/20 | 2023/02/27 | 50.00          |
| 61507    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 S             | 200,000,000  | 2020/04/20 | 2023/02/27 | 50.00          |
| 61489    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 F             | 200,000,000  | 2020/04/20 | 2020/11/27 | 50.00          |
| 61494    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 N             | 400,000,000  | 2020/04/20 | 2020/11/27 | 100.00         |
| 61495    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 Z             | 240,000,000  | 2020/04/20 | 2020/12/30 | 60.00          |
| 61316    | Morgan Stanley Asia Products - HSI R Bull CBBC Sep 2022 Y | 150,000,000  | 2020/04/20 | 2022/09/29 | 37.50          |
| 61511    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 R | 150,000,000  | 2020/04/20 | 2020/08/28 | 37.50          |
| 61625    | SG Issuer - AIA R Bull CBBC Dec 2020 P                    | 60,000,000   | 2020/04/20 | 2020/12/30 | 15.00          |
| 61628    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 R          | 80,000,000   | 2020/04/20 | 2020/11/27 | 20.00          |
| 61602    | SG Issuer - Bud Apac R Bull CBBC Dec 2020 D               | 80,000,000   | 2020/04/20 | 2020/12/30 | 20.00          |
| 61640    | SG Issuer - CSPC Pharma R Bull CBBC Jan 2021 A            | 150,000,000  | 2020/04/20 | 2021/01/28 | 37.50          |
| 61633    | SG Issuer - CSPC Pharma R Bear CBBC Dec 2020 A            | 150,000,000  | 2020/04/20 | 2020/12/30 | 37.50          |
| 61603    | SG Issuer - Galaxy Ent R Bear CBBC Dec 2020 B             | 100,000,000  | 2020/04/20 | 2020/12/30 | 25.00          |
| 61691    | SG Issuer - HKEX R Bull CBBC Oct 2020 M                   | 50,000,000   | 2020/04/20 | 2020/10/29 | 12.50          |
| 61642    | SG Issuer - HKEX R Bear CBBC Dec 2020 C                   | 200,000,000  | 2020/04/20 | 2020/12/30 | 50.00          |
| 61657    | SG Issuer - HSI R Bull CBBC Sep 2022 I                    | 250,000,000  | 2020/04/20 | 2022/09/29 | 62.50          |
| 61659    | SG Issuer - HSI R Bull CBBC Sep 2022 J                    | 250,000,000  | 2020/04/20 | 2022/09/29 | 62.50          |
| 61662    | SG Issuer - HSI R Bull CBBC Oct 2022 D                    | 250,000,000  | 2020/04/20 | 2022/10/28 | 62.50          |
| 61666    | SG Issuer - HSI R Bull CBBC Oct 2022 F                    | 250,000,000  | 2020/04/20 | 2022/10/28 | 62.50          |
| 61672    | SG Issuer - HSI R Bull CBBC Oct 2022 I                    | 250,000,000  | 2020/04/20 | 2022/10/28 | 62.50          |
| 61660    | SG Issuer - HSI R Bull CBBC Oct 2022 O                    | 250,000,000  | 2020/04/20 | 2022/10/28 | 62.50          |
| 61665    | SG Issuer - HSI R Bull CBBC Oct 2022 S                    | 250,000,000  | 2020/04/20 | 2022/10/28 | 62.50          |
| 61686    | SG Issuer - HSI R Bull CBBC Dec 2022 D                    | 250,000,000  | 2020/04/20 | 2022/12/29 | 62.50          |
| 61685    | SG Issuer - HSI R Bull CBBC Dec 2022 J                    | 250,000,000  | 2020/04/20 | 2022/12/29 | 62.50          |
| 61648    | SG Issuer - HSI R Bear CBBC Sep 2020 G                    | 250,000,000  | 2020/04/20 | 2020/09/29 | 62.50          |
| 61611    | SG Issuer - HSI R Bear CBBC Oct 2020 A                    | 250,000,000  | 2020/04/20 | 2020/10/29 | 62.50          |
| 61620    | SG Issuer - HSI R Bear CBBC Oct 2020 D                    | 250,000,000  | 2020/04/20 | 2020/10/29 | 62.50          |
| 61651    | SG Issuer - HSI R Bear CBBC Nov 2020 A                    | 250,000,000  | 2020/04/20 | 2020/11/27 | 62.50          |
| 61655    | SG Issuer - HSI R Bear CBBC Nov 2020 D                    | 250,000,000  | 2020/04/20 | 2020/11/27 | 62.50          |
| 61656    | SG Issuer - HSI R Bear CBBC Nov 2020 K                    | 250,000,000  | 2020/04/20 | 2020/11/27 | 62.50          |
| 61650    | SG Issuer - HSI R Bear CBBC Nov 2020 Z                    | 250,000,000  | 2020/04/20 | 2020/11/27 | 62.50          |
| 61649    | SG Issuer - HSI R Bear CBBC Dec 2020 I                    | 500,000,000  | 2020/04/20 | 2020/12/30 | 125.00         |
| 61647    | SG Issuer - Meituan Dianping R Bull CBBC Nov 2020 I       | 100,000,000  | 2020/04/20 | 2020/11/30 | 25.00          |
| 61701    | SG Issuer - Sunny Optical R Bull CBBC Dec 2020 O          | 60,000,000   | 2020/04/20 | 2020/12/30 | 15.00          |
| 61703    | SG Issuer - Tencent R Bull CBBC Sep 2020 Z                | 80,000,000   | 2020/04/20 | 2020/09/29 | 20.00          |
| 61606    | SG Issuer - Tencent R Bear CBBC Dec 2020 B                | 80,000,000   | 2020/04/20 | 2020/12/30 | 20.00          |
| 61705    | SG Issuer - Tencent R Bear CBBC Dec 2020 M                | 300,000,000  | 2020/04/20 | 2020/12/30 | 75.00          |
| 61706    | SG Issuer - Tencent R Bear CBBC Feb 2021 H                | 80,000,000   | 2020/04/20 | 2021/02/25 | 20.00          |
| 61470    | UBS AG - Geely Auto R Bear CBBC Feb 2021 A                | 150,000,000  | 2020/04/20 | 2021/02/26 | 37.50          |
| 61445    | UBS AG - Galaxy Ent R Bull CBBC Dec 2020 H                | 60,000,000   | 2020/04/20 | 2020/12/07 | 15.00          |
| 61444    | UBS AG - Galaxy Ent R Bear CBBC Dec 2020 D                | 60,000,000   | 2020/04/20 | 2020/12/21 | 15.00          |
| 61449    | UBS AG - HKEX R Bull CBBC Jan 2021 A                      | 50,000,000   | 2020/04/20 | 2021/01/27 | 12.50          |
| 61450    | UBS AG - HSBC R Bull CBBC Jan 2021 A                      | 100,000,000  | 2020/04/20 | 2021/01/27 | 25.00          |
| 61477    | UBS AG - HSCEI R Bull CBBC Dec 2021 G                     | 200,000,000  | 2020/04/20 | 2021/12/30 | 50.00          |

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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 61451    | UBS AG - HSI R Bull CBBC Oct 2022 N                     | 200,000,000  | 2020/04/20 | 2022/10/28 | 50.00          |
| 61453    | UBS AG - HSI R Bull CBBC Oct 2022 P                     | 200,000,000  | 2020/04/20 | 2022/10/28 | 50.00          |
| 61454    | UBS AG - HSI R Bull CBBC Oct 2022 Q                     | 200,000,000  | 2020/04/20 | 2022/10/28 | 50.00          |
| 61456    | UBS AG - HSI R Bear CBBC Jul 2020 V                     | 400,000,000  | 2020/04/20 | 2020/07/30 | 100.00         |
| 61455    | UBS AG - HSI R Bear CBBC Sep 2020 R                     | 200,000,000  | 2020/04/20 | 2020/09/29 | 50.00          |
| 61461    | UBS AG - HSI R Bear CBBC Sep 2020 U                     | 200,000,000  | 2020/04/20 | 2020/09/29 | 50.00          |
| 61463    | UBS AG - HSI R Bear CBBC Sep 2020 V                     | 200,000,000  | 2020/04/20 | 2020/09/29 | 50.00          |
| 61462    | UBS AG - HSI R Bear CBBC Oct 2020 J                     | 200,000,000  | 2020/04/20 | 2020/10/29 | 50.00          |
| 61467    | UBS AG - HSI R Bear CBBC Oct 2020 L                     | 200,000,000  | 2020/04/20 | 2020/10/29 | 50.00          |
| 61436    | UBS AG - HSI R Bear CBBC Nov 2020 S                     | 200,000,000  | 2020/04/20 | 2020/11/27 | 50.00          |
| 61438    | UBS AG - HSI R Bear CBBC Nov 2020 T                     | 200,000,000  | 2020/04/20 | 2020/11/27 | 50.00          |
| 61437    | UBS AG - HSI R Bear CBBC Dec 2020 M                     | 200,000,000  | 2020/04/20 | 2020/12/30 | 50.00          |
| 61447    | UBS AG - Tencent R Bull CBBC Jan 2021 B                 | 40,000,000   | 2020/04/20 | 2021/01/27 | 10.00          |
| 61439    | UBS AG - Tencent R Bear CBBC Dec 2020 F                 | 40,000,000   | 2020/04/20 | 2020/12/14 | 10.00          |
| 61518    | Bank Vontobel - AAC Tech R Bear CBBC Dec 2020 C         | 40,000,000   | 2020/04/20 | 2020/12/18 | 10.00          |
| 61539    | Bank Vontobel - AIA R Bear CBBC Dec 2020 D              | 40,000,000   | 2020/04/20 | 2020/12/11 | 10.00          |
| 61535    | Bank Vontobel - Bud Apac R Bull CBBC Dec 2020 A         | 40,000,000   | 2020/04/20 | 2020/12/04 | 10.00          |
| 61540    | Bank Vontobel - Galaxy Ent R Bull CBBC Dec 2020 M       | 40,000,000   | 2020/04/20 | 2020/12/18 | 10.00          |
| 61547    | Bank Vontobel - HKEX R Bull CBBC Dec 2020 G             | 40,000,000   | 2020/04/20 | 2020/12/04 | 10.00          |
| 61548    | Bank Vontobel - HSI R Bull CBBC Dec 2022 X              | 80,000,000   | 2020/04/20 | 2022/12/29 | 20.00          |
| 61551    | Bank Vontobel - HSI R Bull CBBC Dec 2022 Y              | 80,000,000   | 2020/04/20 | 2022/12/29 | 20.00          |
| 61555    | Bank Vontobel - HSI R Bear CBBC Dec 2020 B              | 80,000,000   | 2020/04/20 | 2020/12/30 | 20.00          |
| 61534    | Bank Vontobel - Sino Biopharm R Bull CBBC Nov 2020 B    | 40,000,000   | 2020/04/20 | 2020/11/06 | 10.00          |
| 61819    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 A   | 60,000,000   | 2020/04/21 | 2020/12/31 | 15.00          |
| 61822    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 B   | 60,000,000   | 2020/04/21 | 2020/12/31 | 15.00          |
| 61846    | BOCI Asia Ltd. - BOCL R Bull CBBC Apr 2021 A            | 80,000,000   | 2020/04/21 | 2021/04/29 | 20.00          |
| 61806    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 V             | 150,000,000  | 2020/04/21 | 2022/12/29 | 37.50          |
| 61807    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 W             | 200,000,000  | 2020/04/21 | 2022/12/29 | 50.00          |
| 61812    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 H             | 150,000,000  | 2020/04/21 | 2020/10/29 | 37.50          |
| 61818    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 I             | 150,000,000  | 2020/04/21 | 2020/10/29 | 37.50          |
| 61828    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 O  | 150,000,000  | 2020/04/21 | 2022/12/29 | 37.50          |
| 61776    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 S  | 250,000,000  | 2020/04/21 | 2020/12/30 | 62.50          |
| 61981    | Credit Suisse AG - AAC Tech R Bear CBBC Oct 2020 B      | 50,000,000   | 2020/04/21 | 2020/10/29 | 12.50          |
| 61997    | Credit Suisse AG - Alibaba Group R Bull CBBC Oct 2020 F | 80,000,000   | 2020/04/21 | 2020/10/29 | 20.00          |
| 61977    | Credit Suisse AG - Galaxy Ent R Bull CBBC Nov 2020 D    | 80,000,000   | 2020/04/21 | 2020/11/27 | 20.00          |
| 61976    | Credit Suisse AG - HSBC R Bull CBBC Dec 2020 H          | 70,000,000   | 2020/04/21 | 2020/12/30 | 17.50          |
| 61990    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 B           | 200,000,000  | 2020/04/21 | 2022/09/29 | 50.00          |
| 61992    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 C           | 200,000,000  | 2020/04/21 | 2022/09/29 | 50.00          |
| 61972    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 H           | 200,000,000  | 2020/04/21 | 2023/02/27 | 50.00          |
| 61989    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 I           | 300,000,000  | 2020/04/21 | 2023/02/27 | 75.00          |
| 61949    | Credit Suisse AG - HSI R Bear CBBC Jul 2020 X           | 200,000,000  | 2020/04/21 | 2020/07/30 | 50.00          |
| 61957    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 X           | 200,000,000  | 2020/04/21 | 2020/10/29 | 50.00          |
| 61947    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 Y           | 200,000,000  | 2020/04/21 | 2020/11/27 | 50.00          |
| 61961    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 Z           | 200,000,000  | 2020/04/21 | 2020/11/27 | 50.00          |
| 61959    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 L           | 300,000,000  | 2020/04/21 | 2020/12/30 | 75.00          |

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|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 61963    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 M            | 300,000,000  | 2020/04/21 | 2020/12/30 | 75.00          |
| 61979    | Credit Suisse AG - Link REIT R Bull CBBC Dec 2020 E      | 50,000,000   | 2020/04/21 | 2020/12/30 | 12.50          |
| 61986    | Credit Suisse AG - Ping An R Bull CBBC Dec 2020 I        | 80,000,000   | 2020/04/21 | 2020/12/30 | 20.00          |
| 61978    | Credit Suisse AG - Tencent R Bull CBBC Sep 2020 K        | 50,000,000   | 2020/04/21 | 2020/09/29 | 12.50          |
| 62140    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Dec 2020 L | 80,000,000   | 2020/04/21 | 2020/12/30 | 20.00          |
| 62147    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Dec 2020 M | 60,000,000   | 2020/04/21 | 2020/12/30 | 15.00          |
| 62137    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 Y     | 160,000,000  | 2020/04/21 | 2022/10/28 | 40.00          |
| 62134    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jan 2023 R     | 160,000,000  | 2020/04/21 | 2023/01/30 | 40.00          |
| 62161    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jan 2023 S     | 160,000,000  | 2020/04/21 | 2023/01/30 | 40.00          |
| 62124    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 C     | 160,000,000  | 2020/04/21 | 2020/12/30 | 40.00          |
| 62128    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 D     | 160,000,000  | 2020/04/21 | 2020/12/30 | 40.00          |
| 62176    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 Q     | 160,000,000  | 2020/04/21 | 2020/12/30 | 40.00          |
| 62162    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 S     | 160,000,000  | 2020/04/21 | 2020/12/30 | 40.00          |
| 62178    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 U     | 160,000,000  | 2020/04/21 | 2020/12/30 | 40.00          |
| 62142    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 D | 60,000,000   | 2020/04/21 | 2020/10/28 | 15.00          |
| 62153    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 E | 60,000,000   | 2020/04/21 | 2020/10/28 | 15.00          |
| 62157    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Feb 2021 D | 60,000,000   | 2020/04/21 | 2021/02/26 | 15.00          |
| 61789    | HK Bank - Alibaba Group R Bull CBBC Oct 2020 C           | 40,000,000   | 2020/04/21 | 2020/10/05 | 10.00          |
| 61786    | HK Bank - CAM CSI300 R Bull CBBC Nov 2020 A              | 40,000,000   | 2020/04/21 | 2020/11/02 | 10.00          |
| 61785    | HK Bank - China Life R Bull CBBC Sep 2020 C              | 40,000,000   | 2020/04/21 | 2020/09/14 | 10.00          |
| 61801    | HK Bank - HKEX R Bull CBBC Oct 2020 E                    | 40,000,000   | 2020/04/21 | 2020/10/15 | 10.00          |
| 61796    | HK Bank - HKEX R Bear CBBC Oct 2020 B                    | 100,000,000  | 2020/04/21 | 2020/10/05 | 25.00          |
| 61788    | HK Bank - HSI R Bull CBBC Sep 2022 U                     | 100,000,000  | 2020/04/21 | 2022/09/29 | 25.00          |
| 61780    | HK Bank - HSI R Bear CBBC Sep 2020 T                     | 100,000,000  | 2020/04/21 | 2020/09/29 | 25.00          |
| 61791    | HK Bank - HSI R Bear CBBC Sep 2020 U                     | 100,000,000  | 2020/04/21 | 2020/09/29 | 25.00          |
| 61804    | HK Bank - Meituan Dianping R Bear CBBC Oct 2020 A        | 40,000,000   | 2020/04/21 | 2020/10/05 | 10.00          |
| 61802    | HK Bank - Tencent R Bull CBBC Oct 2020 C                 | 40,000,000   | 2020/04/21 | 2020/10/15 | 10.00          |
| 61793    | HK Bank - WuXi Bio R Bull CBBC Sep 2020 C                | 40,000,000   | 2020/04/21 | 2020/09/28 | 10.00          |
| 62006    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Oct 2020 G | 40,000,000   | 2020/04/21 | 2020/10/20 | 10.00          |
| 62003    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 U           | 150,000,000  | 2020/04/21 | 2023/01/30 | 37.50          |
| 62022    | Haitong Int'l Sec - HSI R Bull CBBC Feb 2023 V           | 150,000,000  | 2020/04/21 | 2023/02/27 | 37.50          |
| 62032    | Haitong Int'l Sec - HSI R Bull CBBC Feb 2023 W           | 150,000,000  | 2020/04/21 | 2023/02/27 | 37.50          |
| 62000    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 T           | 150,000,000  | 2020/04/21 | 2020/11/27 | 37.50          |
| 62016    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 M           | 150,000,000  | 2020/04/21 | 2020/12/30 | 37.50          |
| 62004    | Haitong Int'l Sec - Tencent R Bull CBBC Oct 2020 O       | 40,000,000   | 2020/04/21 | 2020/10/20 | 10.00          |
| 61917    | J P Morgan SP BV - HSCEI R Bull CBBC Dec 2021 L          | 200,000,000  | 2020/04/21 | 2021/12/30 | 50.00          |
| 61908    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 Z            | 200,000,000  | 2020/04/21 | 2023/01/30 | 50.00          |
| 61838    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 T            | 200,000,000  | 2020/04/21 | 2023/02/27 | 50.00          |
| 61910    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 U            | 200,000,000  | 2020/04/21 | 2023/02/27 | 50.00          |
| 61915    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 V            | 240,000,000  | 2020/04/21 | 2023/02/27 | 60.00          |
| 61916    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 W            | 400,000,000  | 2020/04/21 | 2023/02/27 | 100.00         |
| 61829    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 F            | 240,000,000  | 2020/04/21 | 2020/10/29 | 60.00          |
| 61837    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 J            | 200,000,000  | 2020/04/21 | 2020/10/29 | 50.00          |
| 61836    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 O            | 200,000,000  | 2020/04/21 | 2020/11/27 | 50.00          |
| 61906    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 P            | 400,000,000  | 2020/04/21 | 2020/11/27 | 100.00         |

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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 61902    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 L             | 240,000,000  | 2020/04/21 | 2020/12/30 | 60.00          |
| 61928    | J P Morgan SP BV - Tencent R Bull CBBC Aug 2020 M         | 50,000,000   | 2020/04/21 | 2020/08/21 | 12.50          |
| 61931    | Morgan Stanley Asia Products - HSI R Bull CBBC Oct 2022 A | 150,000,000  | 2020/04/21 | 2022/10/28 | 37.50          |
| 61779    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 S | 150,000,000  | 2020/04/21 | 2020/08/28 | 37.50          |
| 61778    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 L | 150,000,000  | 2020/04/21 | 2020/09/29 | 37.50          |
| 62058    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 Q          | 80,000,000   | 2020/04/21 | 2020/09/29 | 20.00          |
| 62108    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 S          | 200,000,000  | 2020/04/21 | 2020/12/30 | 50.00          |
| 62041    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 C          | 200,000,000  | 2020/04/21 | 2021/01/28 | 50.00          |
| 62063    | SG Issuer - China Mobile R Bear CBBC Dec 2020 C           | 100,000,000  | 2020/04/21 | 2020/12/30 | 25.00          |
| 62111    | SG Issuer - CM Bank R Bull CBBC Feb 2021 B                | 100,000,000  | 2020/04/21 | 2021/02/25 | 25.00          |
| 62064    | SG Issuer - CNOOC R Bull CBBC Dec 2020 M                  | 40,000,000   | 2020/04/21 | 2020/12/31 | 10.00          |
| 62048    | SG Issuer - HSBC R Bear CBBC Nov 2020 A                   | 100,000,000  | 2020/04/21 | 2020/11/30 | 25.00          |
| 62080    | SG Issuer - HSI R Bull CBBC Aug 2022 B                    | 500,000,000  | 2020/04/21 | 2022/08/30 | 125.00         |
| 62081    | SG Issuer - HSI R Bull CBBC Sep 2022 K                    | 250,000,000  | 2020/04/21 | 2022/09/29 | 62.50          |
| 62103    | SG Issuer - HSI R Bull CBBC Sep 2022 L                    | 250,000,000  | 2020/04/21 | 2022/09/29 | 62.50          |
| 62040    | SG Issuer - HSI R Bull CBBC Oct 2022 L                    | 250,000,000  | 2020/04/21 | 2022/10/28 | 62.50          |
| 62105    | SG Issuer - HSI R Bull CBBC Dec 2022 B                    | 250,000,000  | 2020/04/21 | 2022/12/29 | 62.50          |
| 62033    | SG Issuer - HSI R Bear CBBC Oct 2020 G                    | 250,000,000  | 2020/04/21 | 2020/10/29 | 62.50          |
| 62035    | SG Issuer - HSI R Bear CBBC Nov 2020 I                    | 250,000,000  | 2020/04/21 | 2020/11/27 | 62.50          |
| 62082    | SG Issuer - HSI R Bear CBBC Nov 2020 L                    | 250,000,000  | 2020/04/21 | 2020/11/27 | 62.50          |
| 62084    | SG Issuer - HSI R Bear CBBC Nov 2020 M                    | 250,000,000  | 2020/04/21 | 2020/11/27 | 62.50          |
| 62091    | SG Issuer - HSI R Bear CBBC Nov 2020 O                    | 250,000,000  | 2020/04/21 | 2020/11/27 | 62.50          |
| 62099    | SG Issuer - HSI R Bear CBBC Dec 2020 Z                    | 250,000,000  | 2020/04/21 | 2020/12/30 | 62.50          |
| 62065    | SG Issuer - Ping An R Bull CBBC Jan 2021 E                | 100,000,000  | 2020/04/21 | 2021/01/28 | 25.00          |
| 62072    | SG Issuer - Tencent R Bull CBBC Jul 2020 U                | 80,000,000   | 2020/04/21 | 2020/07/31 | 20.00          |
| 62051    | SG Issuer - Tencent R Bear CBBC Nov 2020 A                | 80,000,000   | 2020/04/21 | 2020/11/30 | 20.00          |
| 62078    | SG Issuer - Tencent R Bear CBBC Feb 2021 I                | 300,000,000  | 2020/04/21 | 2021/02/26 | 75.00          |
| 62054    | SG Issuer - Xiaomi R Bull CBBC Nov 2020 B                 | 60,000,000   | 2020/04/21 | 2020/11/30 | 15.00          |
| 62115    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 D                 | 60,000,000   | 2020/04/21 | 2020/12/30 | 15.00          |
| 62117    | SG Issuer - Xiaomi R Bull CBBC Jan 2021 B                 | 60,000,000   | 2020/04/21 | 2021/01/28 | 15.00          |
| 61900    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 V             | 80,000,000   | 2020/04/21 | 2020/12/23 | 20.00          |
| 61865    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 R             | 400,000,000  | 2020/04/21 | 2020/12/22 | 100.00         |
| 61877    | UBS AG - HSI R Bull CBBC Sep 2022 D                       | 200,000,000  | 2020/04/21 | 2022/09/29 | 50.00          |
| 61880    | UBS AG - HSI R Bull CBBC Sep 2022 E                       | 200,000,000  | 2020/04/21 | 2022/09/29 | 50.00          |
| 61881    | UBS AG - HSI R Bull CBBC Sep 2022 F                       | 200,000,000  | 2020/04/21 | 2022/09/29 | 50.00          |
| 61890    | UBS AG - HSI R Bull CBBC Sep 2022 G                       | 200,000,000  | 2020/04/21 | 2022/09/29 | 50.00          |
| 61893    | UBS AG - HSI R Bull CBBC Sep 2022 H                       | 200,000,000  | 2020/04/21 | 2022/09/29 | 50.00          |
| 61894    | UBS AG - HSI R Bull CBBC Sep 2022 I                       | 400,000,000  | 2020/04/21 | 2022/09/29 | 100.00         |
| 61895    | UBS AG - HSI R Bull CBBC Sep 2022 J                       | 200,000,000  | 2020/04/21 | 2022/09/29 | 50.00          |
| 61896    | UBS AG - HSI R Bull CBBC Sep 2022 K                       | 400,000,000  | 2020/04/21 | 2022/09/29 | 100.00         |
| 61866    | UBS AG - HSI R Bear CBBC Sep 2020 L                       | 200,000,000  | 2020/04/21 | 2020/09/29 | 50.00          |
| 61869    | UBS AG - HSI R Bear CBBC Sep 2020 M                       | 200,000,000  | 2020/04/21 | 2020/09/29 | 50.00          |
| 61849    | UBS AG - HSI R Bear CBBC Sep 2020 W                       | 200,000,000  | 2020/04/21 | 2020/09/29 | 50.00          |
| 61875    | UBS AG - HSI R Bear CBBC Oct 2020 R                       | 200,000,000  | 2020/04/21 | 2020/10/29 | 50.00          |
| 61848    | UBS AG - HSI R Bear CBBC Nov 2020 U                       | 300,000,000  | 2020/04/21 | 2020/11/27 | 75.00          |



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|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 61868    | UBS AG - HSI R Bear CBBC Nov 2020 V                      | 400,000,000  | 2020/04/21 | 2020/11/27 | 100.00         |
| 61870    | UBS AG - HSI R Bear CBBC Dec 2020 N                      | 400,000,000  | 2020/04/21 | 2020/12/30 | 100.00         |
| 61871    | UBS AG - HSI R Bear CBBC Dec 2020 O                      | 400,000,000  | 2020/04/21 | 2020/12/30 | 100.00         |
| 61897    | UBS AG - Tencent R Bull CBBC Jan 2021 C                  | 40,000,000   | 2020/04/21 | 2021/01/21 | 10.00          |
| 61861    | UBS AG - Tencent R Bear CBBC Dec 2020 L                  | 40,000,000   | 2020/04/21 | 2020/12/17 | 10.00          |
| 61942    | Bank Vontobel - Alibaba Group R Bull CBBC Dec 2020 C     | 40,000,000   | 2020/04/21 | 2020/12/18 | 10.00          |
| 61936    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 N  | 60,000,000   | 2020/04/21 | 2020/12/11 | 15.00          |
| 61940    | Bank Vontobel - Tencent R Bull CBBC Dec 2020 W           | 40,000,000   | 2020/04/21 | 2020/12/04 | 10.00          |
| 61939    | Bank Vontobel - Xiaomi R Bull CBBC Nov 2020 M            | 40,000,000   | 2020/04/21 | 2020/11/06 | 10.00          |
| 62200    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 X              | 150,000,000  | 2020/04/22 | 2022/12/29 | 37.50          |
| 62205    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 J              | 150,000,000  | 2020/04/22 | 2020/10/29 | 37.50          |
| 62189    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 O          | 40,000,000   | 2020/04/22 | 2020/10/30 | 10.00          |
| 62316    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 P   | 140,000,000  | 2020/04/22 | 2022/12/29 | 35.00          |
| 62184    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 T   | 250,000,000  | 2020/04/22 | 2020/12/30 | 62.50          |
| 62317    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 U   | 250,000,000  | 2020/04/22 | 2020/12/30 | 62.50          |
| 62318    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 V   | 250,000,000  | 2020/04/22 | 2020/12/30 | 62.50          |
| 62319    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 W   | 250,000,000  | 2020/04/22 | 2020/12/30 | 62.50          |
| 62320    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 X   | 240,000,000  | 2020/04/22 | 2020/12/30 | 60.00          |
| 62347    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 H            | 200,000,000  | 2020/04/22 | 2023/01/30 | 50.00          |
| 62345    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 J            | 200,000,000  | 2020/04/22 | 2023/02/27 | 50.00          |
| 62349    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 K            | 300,000,000  | 2020/04/22 | 2023/02/27 | 75.00          |
| 62357    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Y            | 200,000,000  | 2020/04/22 | 2020/10/29 | 50.00          |
| 62359    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 G            | 200,000,000  | 2020/04/22 | 2020/11/27 | 50.00          |
| 62351    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 N            | 300,000,000  | 2020/04/22 | 2020/12/30 | 75.00          |
| 62573    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Dec 2020 N | 60,000,000   | 2020/04/22 | 2020/12/30 | 15.00          |
| 62574    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Mar 2021 E | 60,000,000   | 2020/04/22 | 2021/03/30 | 15.00          |
| 62530    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jan 2023 T     | 160,000,000  | 2020/04/22 | 2023/01/30 | 40.00          |
| 62531    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jan 2023 U     | 160,000,000  | 2020/04/22 | 2023/01/30 | 40.00          |
| 62550    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jan 2023 V     | 160,000,000  | 2020/04/22 | 2023/01/30 | 40.00          |
| 62554    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jan 2023 W     | 160,000,000  | 2020/04/22 | 2023/01/30 | 40.00          |
| 62556    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jan 2023 X     | 160,000,000  | 2020/04/22 | 2023/01/30 | 40.00          |
| 62557    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jan 2023 Y     | 160,000,000  | 2020/04/22 | 2023/01/30 | 40.00          |
| 62534    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 B     | 160,000,000  | 2020/04/22 | 2020/08/28 | 40.00          |
| 62545    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 F     | 160,000,000  | 2020/04/22 | 2020/11/27 | 40.00          |
| 62536    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 X     | 160,000,000  | 2020/04/22 | 2020/12/30 | 40.00          |
| 62544    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 Z     | 160,000,000  | 2020/04/22 | 2020/12/30 | 40.00          |
| 62562    | Goldman Sachs SP (Asia) - SUNAC R Bull CBBC Mar 2021 A   | 40,000,000   | 2020/04/22 | 2021/03/15 | 10.00          |
| 62568    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Mar 2021 S | 80,000,000   | 2020/04/22 | 2021/03/01 | 20.00          |
| 62590    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Feb 2021 E | 60,000,000   | 2020/04/22 | 2021/02/26 | 15.00          |
| 62225    | HK Bank - Alibaba Group R Bull CBBC Sep 2020 H           | 40,000,000   | 2020/04/22 | 2020/09/14 | 10.00          |
| 62221    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 C           | 100,000,000  | 2020/04/22 | 2020/11/16 | 25.00          |
| 62220    | HK Bank - HSCEI R Bull CBBC Sep 2022 H                   | 50,000,000   | 2020/04/22 | 2022/09/29 | 12.50          |
| 62217    | HK Bank - HSCEI R Bear CBBC Sep 2020 A                   | 50,000,000   | 2020/04/22 | 2020/09/29 | 12.50          |
| 62213    | HK Bank - HSI R Bull CBBC Sep 2022 C                     | 80,000,000   | 2020/04/22 | 2022/09/29 | 20.00          |
| 62214    | HK Bank - HSI R Bull CBBC Sep 2022 V                     | 80,000,000   | 2020/04/22 | 2022/09/29 | 20.00          |

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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 62216    | HK Bank - HSI R Bull CBBC Sep 2022 W                      | 60,000,000   | 2020/04/22 | 2022/09/29 | 15.00          |
| 62210    | HK Bank - HSI R Bear CBBC Sep 2020 V                      | 100,000,000  | 2020/04/22 | 2020/09/29 | 25.00          |
| 62236    | HK Bank - HSI R Bear CBBC Sep 2020 W                      | 60,000,000   | 2020/04/22 | 2020/09/29 | 15.00          |
| 62227    | HK Bank - Meituan Dianping R Bull CBBC Oct 2020 A         | 40,000,000   | 2020/04/22 | 2020/10/05 | 10.00          |
| 62235    | HK Bank - SUNAC R Bull CBBC Nov 2020 B                    | 40,000,000   | 2020/04/22 | 2020/11/02 | 10.00          |
| 62228    | HK Bank - Tencent R Bull CBBC Sep 2020 H                  | 40,000,000   | 2020/04/22 | 2020/09/28 | 10.00          |
| 62369    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 V            | 150,000,000  | 2020/04/22 | 2023/01/30 | 37.50          |
| 62362    | Haitong Int'l Sec - HSI R Bull CBBC Feb 2023 X            | 150,000,000  | 2020/04/22 | 2023/02/27 | 37.50          |
| 62368    | Haitong Int'l Sec - HSI R Bull CBBC Feb 2023 Y            | 150,000,000  | 2020/04/22 | 2023/02/27 | 37.50          |
| 62371    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 R            | 150,000,000  | 2020/04/22 | 2020/10/29 | 37.50          |
| 62378    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 U            | 150,000,000  | 2020/04/22 | 2020/11/27 | 37.50          |
| 62337    | J P Morgan SP BV - Alibaba Group R Bull CBBC Aug 2020 H   | 80,000,000   | 2020/04/22 | 2020/08/21 | 20.00          |
| 62325    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 X             | 200,000,000  | 2020/04/22 | 2023/02/27 | 50.00          |
| 62329    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Y             | 240,000,000  | 2020/04/22 | 2023/02/27 | 60.00          |
| 62384    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Z             | 200,000,000  | 2020/04/22 | 2023/02/27 | 50.00          |
| 62330    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 A             | 200,000,000  | 2020/04/22 | 2023/03/30 | 50.00          |
| 62332    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 B             | 200,000,000  | 2020/04/22 | 2023/03/30 | 50.00          |
| 62336    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 C             | 240,000,000  | 2020/04/22 | 2023/03/30 | 60.00          |
| 62344    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 G             | 200,000,000  | 2020/04/22 | 2020/11/27 | 50.00          |
| 62338    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 Q             | 400,000,000  | 2020/04/22 | 2020/11/27 | 100.00         |
| 62328    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 M             | 200,000,000  | 2020/04/22 | 2020/12/30 | 50.00          |
| 62239    | Morgan Stanley Asia Products - HSI R Bull CBBC Aug 2022 L | 150,000,000  | 2020/04/22 | 2022/08/30 | 37.50          |
| 62238    | Morgan Stanley Asia Products - HSI R Bull CBBC Dec 2022 K | 150,000,000  | 2020/04/22 | 2022/12/29 | 37.50          |
| 62443    | SG Issuer - AAC Tech R Bull CBBC Nov 2020 C               | 100,000,000  | 2020/04/22 | 2020/11/27 | 25.00          |
| 62407    | SG Issuer - AAC Tech R Bear CBBC Oct 2020 D               | 100,000,000  | 2020/04/22 | 2020/10/29 | 25.00          |
| 62447    | SG Issuer - AIA R Bear CBBC Oct 2020 E                    | 60,000,000   | 2020/04/22 | 2020/10/29 | 15.00          |
| 62449    | SG Issuer - Alibaba Group R Bull CBBC Aug 2020 J          | 80,000,000   | 2020/04/22 | 2020/08/31 | 20.00          |
| 62451    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 B          | 200,000,000  | 2020/04/22 | 2020/11/27 | 50.00          |
| 62409    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 T          | 80,000,000   | 2020/04/22 | 2020/12/30 | 20.00          |
| 62454    | SG Issuer - China Mobile R Bear CBBC Nov 2020 B           | 100,000,000  | 2020/04/22 | 2020/11/27 | 25.00          |
| 62412    | SG Issuer - Galaxy Ent R Bull CBBC Nov 2020 E             | 100,000,000  | 2020/04/22 | 2020/11/30 | 25.00          |
| 62414    | SG Issuer - Galaxy Ent R Bear CBBC Dec 2020 C             | 100,000,000  | 2020/04/22 | 2020/12/30 | 25.00          |
| 62485    | SG Issuer - HSI R Bull CBBC Aug 2022 C                    | 250,000,000  | 2020/04/22 | 2022/08/30 | 62.50          |
| 62486    | SG Issuer - HSI R Bull CBBC Aug 2022 D                    | 250,000,000  | 2020/04/22 | 2022/08/30 | 62.50          |
| 62508    | SG Issuer - HSI R Bull CBBC Aug 2022 E                    | 250,000,000  | 2020/04/22 | 2022/08/30 | 62.50          |
| 62518    | SG Issuer - HSI R Bull CBBC Sep 2022 M                    | 250,000,000  | 2020/04/22 | 2022/09/29 | 62.50          |
| 62529    | SG Issuer - HSI R Bull CBBC Sep 2022 N                    | 250,000,000  | 2020/04/22 | 2022/09/29 | 62.50          |
| 62440    | SG Issuer - HSI R Bull CBBC Oct 2022 M                    | 250,000,000  | 2020/04/22 | 2022/10/28 | 62.50          |
| 62441    | SG Issuer - HSI R Bull CBBC Dec 2022 W                    | 250,000,000  | 2020/04/22 | 2022/12/29 | 62.50          |
| 62487    | SG Issuer - HSI R Bear CBBC Aug 2020 D                    | 250,000,000  | 2020/04/22 | 2020/08/28 | 62.50          |
| 62488    | SG Issuer - HSI R Bear CBBC Aug 2020 W                    | 250,000,000  | 2020/04/22 | 2020/08/28 | 62.50          |
| 62505    | SG Issuer - HSI R Bear CBBC Oct 2020 H                    | 250,000,000  | 2020/04/22 | 2020/10/29 | 62.50          |
| 62506    | SG Issuer - HSI R Bear CBBC Oct 2020 I                    | 250,000,000  | 2020/04/22 | 2020/10/29 | 62.50          |
| 62507    | SG Issuer - HSI R Bear CBBC Nov 2020 H                    | 250,000,000  | 2020/04/22 | 2020/11/27 | 62.50          |
| 62422    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 D       | 100,000,000  | 2020/04/22 | 2020/12/30 | 25.00          |

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|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 62424    | SG Issuer - Sino Biopharm R Bull CBBC Nov 2020 A             | 40,000,000   | 2020/04/22 | 2020/11/27 | 10.00          |
| 62427    | SG Issuer - Sunny Optical R Bear CBBC Nov 2020 C             | 60,000,000   | 2020/04/22 | 2020/11/27 | 15.00          |
| 62466    | SG Issuer - Tencent R Bull CBBC Aug 2020 K                   | 80,000,000   | 2020/04/22 | 2020/08/31 | 20.00          |
| 62468    | SG Issuer - Tencent R Bull CBBC Sep 2020 A                   | 80,000,000   | 2020/04/22 | 2020/09/30 | 20.00          |
| 62438    | SG Issuer - Tencent R Bear CBBC Nov 2020 C                   | 80,000,000   | 2020/04/22 | 2020/11/27 | 20.00          |
| 62257    | UBS AG - Alibaba Group R Bull CBBC Jan 2021 A                | 80,000,000   | 2020/04/22 | 2021/01/20 | 20.00          |
| 62248    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 S                | 80,000,000   | 2020/04/22 | 2020/12/07 | 20.00          |
| 62250    | UBS AG - Alibaba Group R Bear CBBC Jan 2021 B                | 400,000,000  | 2020/04/22 | 2021/01/21 | 100.00         |
| 62283    | UBS AG - HSBC R Bear CBBC Jan 2021 A                         | 100,000,000  | 2020/04/22 | 2021/01/21 | 25.00          |
| 62252    | UBS AG - HSI R Bull CBBC Sep 2022 L                          | 200,000,000  | 2020/04/22 | 2022/09/29 | 50.00          |
| 62254    | UBS AG - HSI R Bull CBBC Sep 2022 M                          | 200,000,000  | 2020/04/22 | 2022/09/29 | 50.00          |
| 62263    | UBS AG - HSI R Bull CBBC Sep 2022 N                          | 200,000,000  | 2020/04/22 | 2022/09/29 | 50.00          |
| 62266    | UBS AG - HSI R Bull CBBC Sep 2022 O                          | 200,000,000  | 2020/04/22 | 2022/09/29 | 50.00          |
| 62243    | UBS AG - HSI R Bull CBBC Dec 2022 I                          | 200,000,000  | 2020/04/22 | 2022/12/29 | 50.00          |
| 62272    | UBS AG - HSI R Bear CBBC Oct 2020 S                          | 200,000,000  | 2020/04/22 | 2020/10/29 | 50.00          |
| 62275    | UBS AG - HSI R Bear CBBC Oct 2020 T                          | 200,000,000  | 2020/04/22 | 2020/10/29 | 50.00          |
| 62276    | UBS AG - HSI R Bear CBBC Oct 2020 U                          | 200,000,000  | 2020/04/22 | 2020/10/29 | 50.00          |
| 62242    | UBS AG - HSI R Bear CBBC Dec 2020 P                          | 200,000,000  | 2020/04/22 | 2020/12/30 | 50.00          |
| 62271    | UBS AG - HSI R Bear CBBC Mar 2021 A                          | 300,000,000  | 2020/04/22 | 2021/03/30 | 75.00          |
| 62251    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 K             | 50,000,000   | 2020/04/22 | 2020/12/31 | 12.50          |
| 62255    | UBS AG - Tencent R Bull CBBC Jan 2021 D                      | 40,000,000   | 2020/04/22 | 2021/01/22 | 10.00          |
| 62256    | UBS AG - Tencent R Bull CBBC Jan 2021 E                      | 200,000,000  | 2020/04/22 | 2021/01/20 | 50.00          |
| 62246    | UBS AG - Tencent R Bear CBBC Dec 2020 M                      | 200,000,000  | 2020/04/22 | 2020/12/07 | 50.00          |
| 62289    | UBS AG - Xiaomi R Bull CBBC Dec 2020 L                       | 60,000,000   | 2020/04/22 | 2020/12/10 | 15.00          |
| 62295    | Bank Vontobel - Geely Auto R Bull CBBC Dec 2020 E            | 40,000,000   | 2020/04/22 | 2020/12/18 | 10.00          |
| 62304    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 A      | 60,000,000   | 2020/04/22 | 2020/12/18 | 15.00          |
| 62306    | Bank Vontobel - SUNAC R Bull CBBC Dec 2020 J                 | 40,000,000   | 2020/04/22 | 2020/12/04 | 10.00          |
| 62314    | Bank Vontobel - SUNAC R Bull CBBC Dec 2020 K                 | 40,000,000   | 2020/04/22 | 2020/12/11 | 10.00          |
| 62315    | Bank Vontobel - SUNAC R Bear CBBC Dec 2020 C                 | 40,000,000   | 2020/04/22 | 2020/12/04 | 10.00          |
| 62290    | Bank Vontobel - Tencent R Bull CBBC Dec 2020 X               | 40,000,000   | 2020/04/22 | 2020/12/18 | 10.00          |
| 62294    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 O               | 40,000,000   | 2020/04/22 | 2020/12/04 | 10.00          |
| 62720    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 Y                  | 150,000,000  | 2020/04/23 | 2022/12/29 | 37.50          |
| 62721    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 K                  | 150,000,000  | 2020/04/23 | 2020/10/29 | 37.50          |
| 62726    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 L                  | 150,000,000  | 2020/04/23 | 2020/10/29 | 37.50          |
| 62734    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 L     | 40,000,000   | 2020/04/23 | 2020/12/30 | 10.00          |
| 62731    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 P              | 40,000,000   | 2020/04/23 | 2020/10/30 | 10.00          |
| 62623    | BNP Paribas Issuance B.V. - Alibaba Group R Bull CBBC Dec20F | 100,000,000  | 2020/04/23 | 2020/12/30 | 25.00          |
| 62625    | BNP Paribas Issuance B.V. - Alibaba Group R Bull CBBC Dec20G | 100,000,000  | 2020/04/23 | 2020/12/30 | 25.00          |
| 62630    | BNP Paribas Issuance B.V. - Alibaba Group R Bull CBBC Dec20H | 100,000,000  | 2020/04/23 | 2020/12/30 | 25.00          |
| 62648    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2020 J      | 50,000,000   | 2020/04/23 | 2020/09/29 | 12.50          |
| 62647    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2020 Z      | 50,000,000   | 2020/04/23 | 2020/09/29 | 12.50          |
| 62705    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 Q       | 150,000,000  | 2020/04/23 | 2022/12/29 | 37.50          |
| 62706    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 R       | 150,000,000  | 2020/04/23 | 2022/12/29 | 37.50          |
| 62708    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 S       | 150,000,000  | 2020/04/23 | 2022/12/29 | 37.50          |
| 62711    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 T       | 150,000,000  | 2020/04/23 | 2022/12/29 | 37.50          |

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|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 62715    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 U      | 150,000,000  | 2020/04/23 | 2022/12/29 | 37.50          |
| 62746    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 V      | 150,000,000  | 2020/04/23 | 2022/12/29 | 37.50          |
| 62749    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 A      | 240,000,000  | 2020/04/23 | 2020/12/30 | 60.00          |
| 62716    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Y      | 250,000,000  | 2020/04/23 | 2020/12/30 | 62.50          |
| 62717    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Z      | 250,000,000  | 2020/04/23 | 2020/12/30 | 62.50          |
| 62614    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 S  | 50,000,000   | 2020/04/23 | 2020/12/30 | 12.50          |
| 62620    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 V  | 50,000,000   | 2020/04/23 | 2020/12/30 | 12.50          |
| 62622    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 D  | 50,000,000   | 2020/04/23 | 2020/11/27 | 12.50          |
| 62595    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 G  | 50,000,000   | 2020/04/23 | 2020/11/27 | 12.50          |
| 62594    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 Y  | 50,000,000   | 2020/04/23 | 2020/12/30 | 12.50          |
| 62605    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 I  | 50,000,000   | 2020/04/23 | 2020/12/30 | 12.50          |
| 62607    | BNP Paribas Issuance B.V. - Xiaomi R Bull CBBC Nov 2020 T   | 50,000,000   | 2020/04/23 | 2020/11/27 | 12.50          |
| 62786    | Credit Suisse AG - AAC Tech R Bull CBBC Nov 2020 B          | 80,000,000   | 2020/04/23 | 2020/11/27 | 20.00          |
| 62795    | Credit Suisse AG - Alibaba Group R Bull CBBC Aug 2020 E     | 80,000,000   | 2020/04/23 | 2020/08/28 | 20.00          |
| 62774    | Credit Suisse AG - HSBC R Bear CBBC Nov 2020 A              | 70,000,000   | 2020/04/23 | 2020/11/27 | 17.50          |
| 62762    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 D               | 200,000,000  | 2020/04/23 | 2022/10/28 | 50.00          |
| 62761    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 S               | 200,000,000  | 2020/04/23 | 2022/10/28 | 50.00          |
| 62755    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 X               | 200,000,000  | 2020/04/23 | 2022/11/29 | 50.00          |
| 62764    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 D               | 200,000,000  | 2020/04/23 | 2020/09/29 | 50.00          |
| 62763    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Z               | 200,000,000  | 2020/04/23 | 2020/10/29 | 50.00          |
| 62770    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 I               | 200,000,000  | 2020/04/23 | 2020/11/27 | 50.00          |
| 62792    | Credit Suisse AG - Meituan Dianping R Bull CBBC Oct 2020 E  | 80,000,000   | 2020/04/23 | 2020/10/29 | 20.00          |
| 62775    | Credit Suisse AG - SUNAC R Bull CBBC Jan 2021 A             | 60,000,000   | 2020/04/23 | 2021/01/28 | 15.00          |
| 62785    | Credit Suisse AG - SUNAC R Bear CBBC Nov 2020 A             | 50,000,000   | 2020/04/23 | 2020/11/27 | 12.50          |
| 62790    | Credit Suisse AG - Sunny Optical R Bear CBBC Nov 2020 C     | 40,000,000   | 2020/04/23 | 2020/11/27 | 10.00          |
| 62798    | Credit Suisse AG - Tencent R Bull CBBC Aug 2020 E           | 50,000,000   | 2020/04/23 | 2020/08/28 | 12.50          |
| 63092    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 M    | 60,000,000   | 2020/04/23 | 2020/10/30 | 15.00          |
| 63091    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Mar 2021 F    | 80,000,000   | 2020/04/23 | 2021/03/30 | 20.00          |
| 63083    | Goldman Sachs SP (Asia) - Galaxy Ent R Bull CBBC Jan 2021 A | 60,000,000   | 2020/04/23 | 2021/01/29 | 15.00          |
| 63054    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 F        | 160,000,000  | 2020/04/23 | 2023/02/27 | 40.00          |
| 63066    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 G        | 160,000,000  | 2020/04/23 | 2023/02/27 | 40.00          |
| 63056    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 Q        | 160,000,000  | 2020/04/23 | 2023/03/30 | 40.00          |
| 63062    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 W        | 160,000,000  | 2020/04/23 | 2023/03/30 | 40.00          |
| 63074    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 G        | 160,000,000  | 2020/04/23 | 2020/11/27 | 40.00          |
| 63076    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 I        | 160,000,000  | 2020/04/23 | 2020/11/27 | 40.00          |
| 63078    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 M        | 160,000,000  | 2020/04/23 | 2020/11/27 | 40.00          |
| 63057    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 Y        | 160,000,000  | 2020/04/23 | 2020/12/30 | 40.00          |
| 63135    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Jan 2021 A    | 60,000,000   | 2020/04/23 | 2021/01/29 | 15.00          |
| 63129    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 F    | 60,000,000   | 2020/04/23 | 2020/10/30 | 15.00          |
| 63130    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 G    | 60,000,000   | 2020/04/23 | 2020/10/30 | 15.00          |
| 63111    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Feb 2021 F    | 60,000,000   | 2020/04/23 | 2021/02/26 | 15.00          |
| 63079    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Jan 2021 A     | 60,000,000   | 2020/04/23 | 2021/01/29 | 15.00          |
| 62700    | HK Bank - Alibaba Group R Bull CBBC Sep 2020 I              | 40,000,000   | 2020/04/23 | 2020/09/28 | 10.00          |
| 62699    | HK Bank - HKEX R Bear CBBC Sep 2020 C                       | 40,000,000   | 2020/04/23 | 2020/09/28 | 10.00          |
| 62650    | HK Bank - HSI R Bull CBBC Sep 2022 D                        | 100,000,000  | 2020/04/23 | 2022/09/29 | 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 62686    | HK Bank - HSI R Bull CBBC Sep 2022 G                         | 80,000,000   | 2020/04/23 | 2022/09/29 | 20.00          |
| 62674    | HK Bank - HSI R Bear CBBC Sep 2020 X                         | 80,000,000   | 2020/04/23 | 2020/09/29 | 20.00          |
| 62654    | HK Bank - SUNAC R Bull CBBC Oct 2020 B                       | 40,000,000   | 2020/04/23 | 2020/10/12 | 10.00          |
| 62692    | HK Bank - SUNAC R Bull CBBC Dec 2020 A                       | 40,000,000   | 2020/04/23 | 2020/12/14 | 10.00          |
| 62694    | HK Bank - Tencent R Bull CBBC Sep 2020 I                     | 40,000,000   | 2020/04/23 | 2020/09/21 | 10.00          |
| 62911    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Nov 2020 E     | 40,000,000   | 2020/04/23 | 2020/11/20 | 10.00          |
| 62955    | Haitong Int'l Sec - Bud Apac R Bull CBBC Dec 2020 A          | 40,000,000   | 2020/04/23 | 2020/12/29 | 10.00          |
| 62957    | Haitong Int'l Sec - CNOOC R Bull CBBC Dec 2020 A             | 40,000,000   | 2020/04/23 | 2020/12/29 | 10.00          |
| 62926    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 T               | 150,000,000  | 2020/04/23 | 2022/11/29 | 37.50          |
| 62924    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 C               | 300,000,000  | 2020/04/23 | 2023/03/30 | 75.00          |
| 62939    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 Y               | 150,000,000  | 2020/04/23 | 2020/09/29 | 37.50          |
| 62917    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 V               | 200,000,000  | 2020/04/23 | 2020/11/27 | 50.00          |
| 62920    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 N               | 200,000,000  | 2020/04/23 | 2021/01/28 | 50.00          |
| 62916    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Nov 2020 E  | 40,000,000   | 2020/04/23 | 2020/11/20 | 10.00          |
| 62947    | Haitong Int'l Sec - Tencent R Bull CBBC Nov 2020 K           | 40,000,000   | 2020/04/23 | 2020/11/20 | 10.00          |
| 62951    | Haitong Int'l Sec - Tencent R Bull CBBC Nov 2020 L           | 40,000,000   | 2020/04/23 | 2020/11/27 | 10.00          |
| 62904    | Haitong Int'l Sec - Tencent R Bear CBBC Sep 2020 S           | 40,000,000   | 2020/04/23 | 2020/09/22 | 10.00          |
| 62901    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 L           | 40,000,000   | 2020/04/23 | 2020/11/20 | 10.00          |
| 62961    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 D                | 200,000,000  | 2020/04/23 | 2023/03/30 | 50.00          |
| 62979    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 E                | 200,000,000  | 2020/04/23 | 2023/03/30 | 50.00          |
| 62980    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 F                | 200,000,000  | 2020/04/23 | 2023/03/30 | 50.00          |
| 62982    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 G                | 200,000,000  | 2020/04/23 | 2023/03/30 | 50.00          |
| 62970    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 R                | 200,000,000  | 2020/04/23 | 2020/11/27 | 50.00          |
| 62975    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 S                | 200,000,000  | 2020/04/23 | 2020/11/27 | 50.00          |
| 62964    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 A                | 200,000,000  | 2020/04/23 | 2020/12/30 | 50.00          |
| 62983    | J P Morgan SP BV - Tencent R Bull CBBC Aug 2020 N            | 50,000,000   | 2020/04/23 | 2020/08/14 | 12.50          |
| 62671    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 E    | 150,000,000  | 2020/04/23 | 2023/01/30 | 37.50          |
| 62958    | Morgan Stanley Asia Products - HSI R Bear CBBC Jul 2020 J    | 150,000,000  | 2020/04/23 | 2020/07/30 | 37.50          |
| 62667    | Morgan Stanley Asia Products - Sunny Opt R Bull CBBC Sep20 C | 40,000,000   | 2020/04/23 | 2020/09/01 | 10.00          |
| 62665    | Morgan Stanley Asia Products - Sunny Opt R Bull CBBC Oct20 B | 40,000,000   | 2020/04/23 | 2020/10/12 | 10.00          |
| 62661    | Morgan Stanley Asia Products - Xiaomi R Bull CBBC Dec 2020 C | 40,000,000   | 2020/04/23 | 2020/12/30 | 10.00          |
| 62655    | Morgan Stanley Asia Products - Xiaomi R Bear CBBC Oct 2020 C | 40,000,000   | 2020/04/23 | 2020/10/05 | 10.00          |
| 62660    | Morgan Stanley Asia Products - Xiaomi R Bear CBBC Nov 2020 E | 40,000,000   | 2020/04/23 | 2020/11/02 | 10.00          |
| 63029    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 R             | 80,000,000   | 2020/04/23 | 2020/09/30 | 20.00          |
| 62984    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 U             | 200,000,000  | 2020/04/23 | 2020/12/30 | 50.00          |
| 63036    | SG Issuer - Alibaba Group R Bear CBBC Feb 2021 A             | 200,000,000  | 2020/04/23 | 2021/02/26 | 50.00          |
| 63026    | SG Issuer - HSI R Bull CBBC Oct 2022 H                       | 250,000,000  | 2020/04/23 | 2022/10/28 | 62.50          |
| 63023    | SG Issuer - HSI R Bull CBBC Oct 2022 T                       | 250,000,000  | 2020/04/23 | 2022/10/28 | 62.50          |
| 62989    | SG Issuer - HSI R Bull CBBC Apr 2023 E                       | 500,000,000  | 2020/04/23 | 2023/04/27 | 125.00         |
| 62991    | SG Issuer - HSI R Bull CBBC Apr 2023 F                       | 250,000,000  | 2020/04/23 | 2023/04/27 | 62.50          |
| 63027    | SG Issuer - HSI R Bull CBBC Apr 2023 G                       | 250,000,000  | 2020/04/23 | 2023/04/27 | 62.50          |
| 63002    | SG Issuer - HSI R Bear CBBC Jul 2020 D                       | 250,000,000  | 2020/04/23 | 2020/07/30 | 62.50          |
| 63009    | SG Issuer - HSI R Bear CBBC Jul 2020 M                       | 250,000,000  | 2020/04/23 | 2020/07/30 | 62.50          |
| 62999    | SG Issuer - HSI R Bear CBBC Aug 2020 H                       | 250,000,000  | 2020/04/23 | 2020/08/28 | 62.50          |
| 63010    | SG Issuer - HSI R Bear CBBC Sep 2020 B                       | 250,000,000  | 2020/04/23 | 2020/09/29 | 62.50          |

# 主板 可收回牛熊證

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|----------|-------------------------------------------------------|--------------|------------|------------|----------------|
| 63001    | SG Issuer - HSI R Bear CBBC Dec 2020 J                | 500,000,000  | 2020/04/23 | 2020/12/30 | 125.00         |
| 63012    | SG Issuer - HSI R Bear CBBC Jan 2021 C                | 500,000,000  | 2020/04/23 | 2021/01/28 | 125.00         |
| 62992    | SG Issuer - Meituan Dianping R Bull CBBC Nov 2020 J   | 100,000,000  | 2020/04/23 | 2020/11/27 | 25.00          |
| 62993    | SG Issuer - SUNAC R Bull CBBC Dec 2020 G              | 80,000,000   | 2020/04/23 | 2020/12/31 | 20.00          |
| 62994    | SG Issuer - Tencent R Bull CBBC Jul 2020 S            | 80,000,000   | 2020/04/23 | 2020/07/31 | 20.00          |
| 63041    | SG Issuer - Tencent R Bull CBBC Jul 2020 V            | 80,000,000   | 2020/04/23 | 2020/07/31 | 20.00          |
| 62997    | SG Issuer - Tencent R Bear CBBC Oct 2020 T            | 300,000,000  | 2020/04/23 | 2020/10/29 | 75.00          |
| 62998    | SG Issuer - Tencent R Bear CBBC Nov 2020 B            | 80,000,000   | 2020/04/23 | 2020/11/27 | 20.00          |
| 62986    | SG Issuer - Tencent R Bear CBBC Dec 2020 V            | 80,000,000   | 2020/04/23 | 2020/12/30 | 20.00          |
| 62987    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 E             | 60,000,000   | 2020/04/23 | 2020/12/30 | 15.00          |
| 62852    | UBS AG - Alibaba Group R Bull CBBC Jan 2021 B         | 80,000,000   | 2020/04/23 | 2021/01/21 | 20.00          |
| 62860    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 A         | 400,000,000  | 2020/04/23 | 2021/02/26 | 100.00         |
| 62849    | UBS AG - CNOOC R Bear CBBC Jan 2021 A                 | 50,000,000   | 2020/04/23 | 2021/01/21 | 12.50          |
| 62799    | UBS AG - HSI R Bull CBBC Sep 2022 P                   | 200,000,000  | 2020/04/23 | 2022/09/29 | 50.00          |
| 62804    | UBS AG - HSI R Bull CBBC Sep 2022 Q                   | 200,000,000  | 2020/04/23 | 2022/09/29 | 50.00          |
| 62805    | UBS AG - HSI R Bull CBBC Sep 2022 R                   | 200,000,000  | 2020/04/23 | 2022/09/29 | 50.00          |
| 62810    | UBS AG - HSI R Bull CBBC Sep 2022 S                   | 200,000,000  | 2020/04/23 | 2022/09/29 | 50.00          |
| 62815    | UBS AG - HSI R Bull CBBC Sep 2022 T                   | 200,000,000  | 2020/04/23 | 2022/09/29 | 50.00          |
| 62816    | UBS AG - HSI R Bull CBBC Sep 2022 U                   | 200,000,000  | 2020/04/23 | 2022/09/29 | 50.00          |
| 62818    | UBS AG - HSI R Bull CBBC Sep 2022 V                   | 300,000,000  | 2020/04/23 | 2022/09/29 | 75.00          |
| 62827    | UBS AG - HSI R Bull CBBC Sep 2022 W                   | 200,000,000  | 2020/04/23 | 2022/09/29 | 50.00          |
| 62890    | UBS AG - HSI R Bear CBBC Sep 2020 Y                   | 200,000,000  | 2020/04/23 | 2020/09/29 | 50.00          |
| 62840    | UBS AG - HSI R Bear CBBC Oct 2020 V                   | 200,000,000  | 2020/04/23 | 2020/10/29 | 50.00          |
| 62835    | UBS AG - HSI R Bear CBBC Oct 2020 W                   | 200,000,000  | 2020/04/23 | 2020/10/29 | 50.00          |
| 62843    | UBS AG - HSI R Bear CBBC Oct 2020 X                   | 200,000,000  | 2020/04/23 | 2020/10/29 | 50.00          |
| 62848    | UBS AG - HSI R Bear CBBC Oct 2020 Y                   | 200,000,000  | 2020/04/23 | 2020/10/29 | 50.00          |
| 62869    | UBS AG - SUNAC R Bull CBBC Mar 2021 B                 | 80,000,000   | 2020/04/23 | 2021/03/30 | 20.00          |
| 62886    | UBS AG - SUNAC R Bear CBBC Dec 2020 B                 | 60,000,000   | 2020/04/23 | 2020/12/31 | 15.00          |
| 62865    | UBS AG - Tencent R Bull CBBC Nov 2020 O               | 40,000,000   | 2020/04/23 | 2020/11/27 | 10.00          |
| 62806    | UBS AG - Tencent R Bear CBBC Dec 2020 N               | 200,000,000  | 2020/04/23 | 2020/12/30 | 50.00          |
| 63050    | Bank Vontobel - AAC Tech R Bull CBBC Dec 2020 D       | 40,000,000   | 2020/04/23 | 2020/12/04 | 10.00          |
| 63052    | Bank Vontobel - Alibaba Group R Bull CBBC Dec 2020 D  | 40,000,000   | 2020/04/23 | 2020/12/04 | 10.00          |
| 63051    | Bank Vontobel - CNOOC R Bear CBBC Dec 2020 I          | 40,000,000   | 2020/04/23 | 2020/12/18 | 10.00          |
| 63047    | Bank Vontobel - Geely Auto R Bear CBBC Dec 2020 G     | 40,000,000   | 2020/04/23 | 2020/12/18 | 10.00          |
| 63049    | Bank Vontobel - HSBC R Bear CBBC Dec 2020 H           | 40,000,000   | 2020/04/23 | 2020/12/04 | 10.00          |
| 63043    | Bank Vontobel - Tencent R Bull CBBC Nov 2020 M        | 80,000,000   | 2020/04/23 | 2020/11/20 | 20.00          |
| 63044    | Bank Vontobel - Tencent R Bull CBBC Nov 2020 N        | 40,000,000   | 2020/04/23 | 2020/11/20 | 10.00          |
| 63046    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 P        | 40,000,000   | 2020/04/23 | 2020/12/18 | 10.00          |
| 63053    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 Q        | 40,000,000   | 2020/04/23 | 2020/12/11 | 17.20          |
| 63280    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 C | 60,000,000   | 2020/04/24 | 2020/12/31 | 15.00          |
| 63282    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 D | 60,000,000   | 2020/04/24 | 2020/12/31 | 15.00          |
| 63283    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 B | 60,000,000   | 2020/04/24 | 2020/12/31 | 15.00          |
| 63304    | BOCI Asia Ltd. - China Tower R Bull CBBC Dec 2020 B   | 100,000,000  | 2020/04/24 | 2020/12/31 | 25.00          |
| 63302    | BOCI Asia Ltd. - Geely Auto R Bear CBBC Dec 2020 A    | 40,000,000   | 2020/04/24 | 2020/12/31 | 10.40          |
| 63289    | BOCI Asia Ltd. - Galaxy Ent R Bull CBBC Oct 2020 K    | 100,000,000  | 2020/04/24 | 2020/10/30 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 63301    | BOCI Asia Ltd. - HSBC R Bull CBBC Dec 2020 A               | 70,000,000   | 2020/04/24 | 2020/12/31 | 17.50          |
| 64096    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 Z                | 150,000,000  | 2020/04/24 | 2022/12/29 | 37.50          |
| 63154    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 N                | 150,000,000  | 2020/04/24 | 2020/10/29 | 37.50          |
| 63158    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 P                | 150,000,000  | 2020/04/24 | 2020/10/29 | 37.50          |
| 64102    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 Q                | 150,000,000  | 2020/04/24 | 2020/10/29 | 37.50          |
| 63287    | BOCI Asia Ltd. - Ping An R Bull CBBC Sep 2020 L            | 100,000,000  | 2020/04/24 | 2020/09/29 | 25.00          |
| 63292    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 Q            | 40,000,000   | 2020/04/24 | 2020/10/30 | 10.00          |
| 63298    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 R            | 40,000,000   | 2020/04/24 | 2020/10/30 | 10.00          |
| 63300    | BOCI Asia Ltd. - Tencent R Bear CBBC Oct 2020 K            | 40,000,000   | 2020/04/24 | 2020/10/30 | 16.00          |
| 63254    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 A | 100,000,000  | 2020/04/24 | 2020/12/30 | 25.00          |
| 63250    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 I | 100,000,000  | 2020/04/24 | 2020/12/30 | 25.00          |
| 63238    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 C     | 150,000,000  | 2020/04/24 | 2022/12/29 | 37.50          |
| 63480    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 D     | 140,000,000  | 2020/04/24 | 2022/12/29 | 35.00          |
| 63215    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 W     | 150,000,000  | 2020/04/24 | 2022/12/29 | 37.50          |
| 63218    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 X     | 150,000,000  | 2020/04/24 | 2022/12/29 | 37.50          |
| 63232    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 Y     | 150,000,000  | 2020/04/24 | 2022/12/29 | 37.50          |
| 63237    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 Z     | 150,000,000  | 2020/04/24 | 2022/12/29 | 37.50          |
| 63160    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 B     | 250,000,000  | 2020/04/24 | 2020/12/30 | 62.50          |
| 63483    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 C     | 250,000,000  | 2020/04/24 | 2020/12/30 | 62.50          |
| 63484    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 D     | 250,000,000  | 2020/04/24 | 2020/12/30 | 62.50          |
| 63248    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 K | 50,000,000   | 2020/04/24 | 2020/12/30 | 12.50          |
| 63268    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 P | 50,000,000   | 2020/04/24 | 2020/11/27 | 12.50          |
| 63269    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 T | 50,000,000   | 2020/04/24 | 2020/12/30 | 12.50          |
| 63262    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 Z | 50,000,000   | 2020/04/24 | 2020/12/30 | 12.50          |
| 63278    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 S | 50,000,000   | 2020/04/24 | 2020/12/30 | 12.50          |
| 63725    | Credit Suisse AG - AIA R Bull CBBC Nov 2020 G              | 70,000,000   | 2020/04/24 | 2020/11/27 | 17.50          |
| 63757    | Credit Suisse AG - Alibaba Group R Bull CBBC Sep 2020 G    | 80,000,000   | 2020/04/24 | 2020/09/29 | 20.00          |
| 63720    | Credit Suisse AG - Galaxy Ent R Bull CBBC Oct 2020 G       | 80,000,000   | 2020/04/24 | 2020/10/29 | 20.00          |
| 63717    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 Y              | 200,000,000  | 2020/04/24 | 2022/10/28 | 50.00          |
| 63703    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 N              | 200,000,000  | 2020/04/24 | 2022/11/29 | 50.00          |
| 63718    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 I              | 200,000,000  | 2020/04/24 | 2023/01/30 | 50.00          |
| 63698    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 L              | 200,000,000  | 2020/04/24 | 2023/02/27 | 50.00          |
| 63665    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 E              | 200,000,000  | 2020/04/24 | 2020/09/29 | 50.00          |
| 63692    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 C              | 200,000,000  | 2020/04/24 | 2020/10/29 | 50.00          |
| 63666    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 M              | 200,000,000  | 2020/04/24 | 2020/11/27 | 50.00          |
| 63675    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 O              | 200,000,000  | 2020/04/24 | 2020/11/27 | 50.00          |
| 63680    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 Q              | 200,000,000  | 2020/04/24 | 2020/11/27 | 50.00          |
| 63679    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 O              | 300,000,000  | 2020/04/24 | 2020/12/30 | 75.00          |
| 63694    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 P              | 300,000,000  | 2020/04/24 | 2020/12/30 | 75.00          |
| 63752    | Credit Suisse AG - Ping An R Bull CBBC Nov 2020 N          | 80,000,000   | 2020/04/24 | 2020/11/27 | 20.00          |
| 63724    | Credit Suisse AG - Tencent R Bull CBBC Sep 2020 L          | 50,000,000   | 2020/04/24 | 2020/09/29 | 12.50          |
| 63758    | Credit Suisse AG - Tencent R Bear CBBC Sep 2020 F          | 50,000,000   | 2020/04/24 | 2020/09/29 | 12.50          |
| 63820    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 N   | 60,000,000   | 2020/04/24 | 2020/10/30 | 15.00          |
| 63827    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 O   | 60,000,000   | 2020/04/24 | 2020/10/30 | 15.00          |
| 63844    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Jan 2021 A   | 60,000,000   | 2020/04/24 | 2021/01/29 | 15.00          |

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| 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 63791    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 H     | 160,000,000  | 2020/04/24 | 2023/02/27 | 40.00          |
| 63879    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 Z     | 160,000,000  | 2020/04/24 | 2023/02/27 | 40.00          |
| 63789    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 J     | 160,000,000  | 2020/04/24 | 2023/03/30 | 40.00          |
| 63819    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 V     | 160,000,000  | 2020/04/24 | 2023/03/30 | 40.00          |
| 63763    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 I     | 160,000,000  | 2020/04/24 | 2020/10/29 | 40.00          |
| 63771    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 L     | 160,000,000  | 2020/04/24 | 2020/10/29 | 40.00          |
| 63863    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 M     | 160,000,000  | 2020/04/24 | 2020/10/29 | 40.00          |
| 63766    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 P     | 160,000,000  | 2020/04/24 | 2020/11/27 | 40.00          |
| 63773    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 Q     | 160,000,000  | 2020/04/24 | 2020/11/27 | 40.00          |
| 63865    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 R     | 160,000,000  | 2020/04/24 | 2020/11/27 | 40.00          |
| 63835    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 H | 60,000,000   | 2020/04/24 | 2020/10/30 | 15.00          |
| 63836    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Feb 2021 A | 80,000,000   | 2020/04/24 | 2021/02/26 | 20.00          |
| 63830    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Feb 2021 G | 60,000,000   | 2020/04/24 | 2021/02/26 | 15.00          |
| 63846    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Apr 2021 A | 80,000,000   | 2020/04/24 | 2021/04/30 | 20.00          |
| 63210    | HK Bank - AIA R Bull CBBC Nov 2020 D                     | 60,000,000   | 2020/04/24 | 2020/11/09 | 15.00          |
| 63192    | HK Bank - Alibaba Group R Bull CBBC Oct 2020 D           | 40,000,000   | 2020/04/24 | 2020/10/12 | 10.00          |
| 63179    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 D           | 100,000,000  | 2020/04/24 | 2020/11/09 | 25.00          |
| 63200    | HK Bank - Geely Auto R Bull CBBC Oct 2020 B              | 40,000,000   | 2020/04/24 | 2020/10/19 | 10.00          |
| 63198    | HK Bank - Galaxy Ent R Bull CBBC Nov 2020 E              | 60,000,000   | 2020/04/24 | 2020/11/09 | 15.00          |
| 63164    | HK Bank - HSI R Bull CBBC Sep 2022 J                     | 80,000,000   | 2020/04/24 | 2022/09/29 | 20.00          |
| 63162    | HK Bank - HSI R Bull CBBC Dec 2022 C                     | 60,000,000   | 2020/04/24 | 2022/12/29 | 15.00          |
| 63204    | HK Bank - SHK Ppt R Bull CBBC Sep 2020 C                 | 40,000,000   | 2020/04/24 | 2020/09/28 | 10.00          |
| 63199    | HK Bank - Sunny Optical R Bull CBBC Oct 2020 A           | 40,000,000   | 2020/04/24 | 2020/10/12 | 10.00          |
| 63193    | HK Bank - Tencent R Bull CBBC Oct 2020 D                 | 40,000,000   | 2020/04/24 | 2020/10/12 | 10.00          |
| 63207    | HK Bank - Xiaomi R Bull CBBC Sep 2020 C                  | 60,000,000   | 2020/04/24 | 2020/09/28 | 15.00          |
| 63615    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Dec 2020 D | 40,000,000   | 2020/04/24 | 2020/12/15 | 10.00          |
| 63564    | Haitong Int'l Sec - Alibaba Group R Bear CBBC Dec 2020 A | 40,000,000   | 2020/04/24 | 2020/12/22 | 10.00          |
| 63590    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 N           | 200,000,000  | 2020/04/24 | 2022/10/28 | 50.00          |
| 63612    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 Q           | 200,000,000  | 2020/04/24 | 2022/10/28 | 50.00          |
| 63582    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 U           | 150,000,000  | 2020/04/24 | 2022/11/29 | 37.50          |
| 63569    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 S           | 200,000,000  | 2020/04/24 | 2020/10/29 | 50.00          |
| 63579    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 N           | 300,000,000  | 2020/04/24 | 2020/12/30 | 75.00          |
| 63661    | Haitong Int'l Sec - Ping An R Bear CBBC Dec 2020 B       | 40,000,000   | 2020/04/24 | 2020/12/22 | 10.00          |
| 63613    | Haitong Int'l Sec - Tencent R Bull CBBC Dec 2020 B       | 40,000,000   | 2020/04/24 | 2020/12/15 | 10.00          |
| 63614    | Haitong Int'l Sec - Tencent R Bull CBBC Dec 2020 C       | 40,000,000   | 2020/04/24 | 2020/12/15 | 10.00          |
| 63553    | Haitong Int'l Sec - Tencent R Bear CBBC Dec 2020 B       | 40,000,000   | 2020/04/24 | 2020/12/22 | 10.00          |
| 63556    | Haitong Int'l Sec - Tencent R Bear CBBC Dec 2020 C       | 40,000,000   | 2020/04/24 | 2020/12/22 | 10.00          |
| 63511    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 Z            | 200,000,000  | 2020/04/24 | 2022/10/28 | 50.00          |
| 63516    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 B            | 200,000,000  | 2020/04/24 | 2022/12/29 | 50.00          |
| 63541    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 H            | 240,000,000  | 2020/04/24 | 2023/03/30 | 60.00          |
| 63552    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 I            | 200,000,000  | 2020/04/24 | 2023/03/30 | 50.00          |
| 63509    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 H            | 200,000,000  | 2020/04/24 | 2020/11/27 | 50.00          |
| 63500    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 T            | 200,000,000  | 2020/04/24 | 2020/11/27 | 50.00          |
| 63545    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 U            | 240,000,000  | 2020/04/24 | 2020/11/27 | 60.00          |
| 63487    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 D            | 200,000,000  | 2020/04/24 | 2020/12/30 | 50.00          |

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|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 63510    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 P                | 240,000,000  | 2020/04/24 | 2020/12/30 | 60.00          |
| 63551    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 S                | 240,000,000  | 2020/04/24 | 2020/12/30 | 60.00          |
| 63367    | Morgan Stanley Asia Products - Alibaba R Bull CBBC Oct 2020A | 40,000,000   | 2020/04/24 | 2020/10/12 | 10.00          |
| 63372    | Morgan Stanley Asia Products - Alibaba R Bull CBBC Oct 2020B | 40,000,000   | 2020/04/24 | 2020/10/05 | 10.00          |
| 63361    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 K    | 150,000,000  | 2020/04/24 | 2022/11/29 | 37.50          |
| 63365    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 F    | 150,000,000  | 2020/04/24 | 2023/01/30 | 37.50          |
| 63317    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 T    | 150,000,000  | 2020/04/24 | 2020/08/28 | 37.50          |
| 63321    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 M    | 150,000,000  | 2020/04/24 | 2020/09/29 | 37.50          |
| 63312    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 L    | 150,000,000  | 2020/04/24 | 2020/10/29 | 37.50          |
| 63366    | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 C    | 150,000,000  | 2020/04/24 | 2020/11/27 | 37.50          |
| 63358    | Morgan Stanley Asia Products - Tencent R Bull CBBC Sep 2020D | 40,000,000   | 2020/04/24 | 2020/09/01 | 10.00          |
| 63359    | Morgan Stanley Asia Products - Tencent R Bull CBBC Oct 2020C | 40,000,000   | 2020/04/24 | 2020/10/05 | 10.00          |
| 63346    | Morgan Stanley Asia Products - Tencent R Bull CBBC Dec 2020C | 40,000,000   | 2020/04/24 | 2020/12/01 | 12.36          |
| 63353    | Morgan Stanley Asia Products - Tencent R Bull CBBC Feb 2021A | 80,000,000   | 2020/04/24 | 2021/02/01 | 20.00          |
| 63951    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 S             | 80,000,000   | 2020/04/24 | 2020/09/30 | 20.00          |
| 64008    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 K             | 200,000,000  | 2020/04/24 | 2020/12/31 | 50.00          |
| 63901    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 S             | 80,000,000   | 2020/04/24 | 2020/11/27 | 20.00          |
| 63907    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 D             | 200,000,000  | 2020/04/24 | 2021/01/28 | 50.00          |
| 64012    | SG Issuer - Galaxy Ent R Bull CBBC Dec 2020 N                | 100,000,000  | 2020/04/24 | 2020/12/30 | 25.00          |
| 64025    | SG Issuer - Galaxy Ent R Bear CBBC Dec 2020 D                | 100,000,000  | 2020/04/24 | 2020/12/30 | 25.00          |
| 63980    | SG Issuer - HSI R Bull CBBC Sep 2022 O                       | 250,000,000  | 2020/04/24 | 2022/09/29 | 62.50          |
| 63988    | SG Issuer - HSI R Bull CBBC Sep 2022 P                       | 250,000,000  | 2020/04/24 | 2022/09/29 | 62.50          |
| 63998    | SG Issuer - HSI R Bull CBBC Oct 2022 U                       | 250,000,000  | 2020/04/24 | 2022/10/28 | 62.50          |
| 63938    | SG Issuer - HSI R Bull CBBC Apr 2023 H                       | 250,000,000  | 2020/04/24 | 2023/04/27 | 62.50          |
| 63946    | SG Issuer - HSI R Bull CBBC Apr 2023 I                       | 250,000,000  | 2020/04/24 | 2023/04/27 | 62.50          |
| 63947    | SG Issuer - HSI R Bull CBBC Apr 2023 J                       | 250,000,000  | 2020/04/24 | 2023/04/27 | 62.50          |
| 63880    | SG Issuer - HSI R Bear CBBC Jul 2020 O                       | 250,000,000  | 2020/04/24 | 2020/07/30 | 62.50          |
| 63884    | SG Issuer - HSI R Bear CBBC Aug 2020 L                       | 250,000,000  | 2020/04/24 | 2020/08/28 | 62.50          |
| 63890    | SG Issuer - HSI R Bear CBBC Aug 2020 V                       | 250,000,000  | 2020/04/24 | 2020/08/28 | 62.50          |
| 63896    | SG Issuer - HSI R Bear CBBC Aug 2020 X                       | 250,000,000  | 2020/04/24 | 2020/08/28 | 62.50          |
| 63971    | SG Issuer - HSI R Bear CBBC Sep 2020 F                       | 250,000,000  | 2020/04/24 | 2020/09/29 | 62.50          |
| 63977    | SG Issuer - HSI R Bear CBBC Oct 2020 J                       | 250,000,000  | 2020/04/24 | 2020/10/29 | 62.50          |
| 63978    | SG Issuer - HSI R Bear CBBC Oct 2020 W                       | 250,000,000  | 2020/04/24 | 2020/10/29 | 62.50          |
| 63897    | SG Issuer - HSI R Bear CBBC Jan 2021 D                       | 500,000,000  | 2020/04/24 | 2021/01/28 | 125.00         |
| 63979    | SG Issuer - HSI R Bear CBBC Jan 2021 E                       | 500,000,000  | 2020/04/24 | 2021/01/28 | 125.00         |
| 63953    | SG Issuer - Meituan Dianping R Bull CBBC Oct 2020 J          | 100,000,000  | 2020/04/24 | 2020/10/30 | 25.00          |
| 63912    | SG Issuer - Meituan Dianping R Bear CBBC Oct 2020 I          | 100,000,000  | 2020/04/24 | 2020/10/29 | 25.00          |
| 63955    | SG Issuer - Ping An R Bull CBBC Dec 2020 X                   | 100,000,000  | 2020/04/24 | 2020/12/30 | 25.00          |
| 64026    | SG Issuer - Ping An R Bull CBBC Dec 2020 Y                   | 100,000,000  | 2020/04/24 | 2020/12/30 | 25.00          |
| 63956    | SG Issuer - Tencent R Bull CBBC Oct 2020 C                   | 80,000,000   | 2020/04/24 | 2020/10/30 | 20.00          |
| 64031    | SG Issuer - Tencent R Bull CBBC Oct 2020 U                   | 80,000,000   | 2020/04/24 | 2020/10/30 | 20.00          |
| 64032    | SG Issuer - Tencent R Bull CBBC Dec 2020 O                   | 300,000,000  | 2020/04/24 | 2020/12/30 | 75.00          |
| 63916    | SG Issuer - Tencent R Bear CBBC Dec 2020 W                   | 80,000,000   | 2020/04/24 | 2020/12/30 | 20.00          |
| 63917    | SG Issuer - Tencent R Bear CBBC Dec 2020 X                   | 80,000,000   | 2020/04/24 | 2020/12/31 | 20.00          |
| 64034    | SG Issuer - Tencent R Bear CBBC Feb 2021 J                   | 300,000,000  | 2020/04/24 | 2021/02/26 | 75.00          |

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| 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 63457    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 B            | 400,000,000  | 2020/04/24 | 2021/02/26 | 100.00         |
| 63408    | UBS AG - Alibaba Group R Bear CBBC Nov 2020 B            | 80,000,000   | 2020/04/24 | 2020/11/30 | 20.00          |
| 63415    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 A            | 400,000,000  | 2020/04/24 | 2021/02/26 | 100.00         |
| 63470    | UBS AG - Galaxy Ent R Bull CBBC Dec 2020 I               | 80,000,000   | 2020/04/24 | 2020/12/22 | 20.00          |
| 63424    | UBS AG - Galaxy Ent R Bear CBBC Dec 2020 E               | 80,000,000   | 2020/04/24 | 2020/12/31 | 20.00          |
| 63426    | UBS AG - HSI R Bull CBBC Sep 2022 X                      | 200,000,000  | 2020/04/24 | 2022/09/29 | 50.00          |
| 63432    | UBS AG - HSI R Bull CBBC Sep 2022 Y                      | 200,000,000  | 2020/04/24 | 2022/09/29 | 50.00          |
| 63450    | UBS AG - HSI R Bull CBBC Sep 2022 Z                      | 200,000,000  | 2020/04/24 | 2022/09/29 | 50.00          |
| 63378    | UBS AG - HSI R Bear CBBC Sep 2020 N                      | 200,000,000  | 2020/04/24 | 2020/09/29 | 50.00          |
| 63391    | UBS AG - HSI R Bear CBBC Sep 2020 Q                      | 200,000,000  | 2020/04/24 | 2020/09/29 | 50.00          |
| 63397    | UBS AG - HSI R Bear CBBC Sep 2020 S                      | 200,000,000  | 2020/04/24 | 2020/09/29 | 50.00          |
| 63390    | UBS AG - HSI R Bear CBBC Sep 2020 X                      | 200,000,000  | 2020/04/24 | 2020/09/29 | 50.00          |
| 63460    | UBS AG - HSI R Bear CBBC Oct 2020 C                      | 200,000,000  | 2020/04/24 | 2020/10/29 | 50.00          |
| 63469    | UBS AG - HSI R Bear CBBC Oct 2020 D                      | 200,000,000  | 2020/04/24 | 2020/10/29 | 50.00          |
| 63459    | UBS AG - HSI R Bear CBBC Oct 2020 Z                      | 200,000,000  | 2020/04/24 | 2020/10/29 | 50.00          |
| 63472    | UBS AG - ICBC R Bull CBBC Dec 2020 D                     | 100,000,000  | 2020/04/24 | 2020/12/31 | 25.00          |
| 63417    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 L         | 50,000,000   | 2020/04/24 | 2020/12/04 | 12.50          |
| 63451    | UBS AG - Tencent R Bull CBBC Nov 2020 P                  | 40,000,000   | 2020/04/24 | 2020/11/26 | 10.00          |
| 63453    | UBS AG - Tencent R Bull CBBC Feb 2021 A                  | 200,000,000  | 2020/04/24 | 2021/02/26 | 50.00          |
| 63454    | UBS AG - Tencent R Bull CBBC Feb 2021 B                  | 200,000,000  | 2020/04/24 | 2021/02/25 | 50.00          |
| 63400    | UBS AG - Tencent R Bear CBBC Sep 2020 D                  | 40,000,000   | 2020/04/24 | 2020/09/29 | 10.00          |
| 63405    | UBS AG - Tencent R Bear CBBC Dec 2020 O                  | 200,000,000  | 2020/04/24 | 2020/12/31 | 50.00          |
| 63476    | UBS AG - Xiaomi R Bear CBBC Dec 2020 F                   | 60,000,000   | 2020/04/24 | 2020/12/22 | 15.00          |
| 64054    | Bank Vontobel - Ping An R Bull CBBC Nov 2020 D           | 40,000,000   | 2020/04/24 | 2020/11/20 | 10.00          |
| 64088    | Bank Vontobel - Sunny Optical R Bull CBBC Dec 2020 K     | 40,000,000   | 2020/04/24 | 2020/12/11 | 10.00          |
| 64035    | Bank Vontobel - Tencent R Bull CBBC Dec 2020 Y           | 40,000,000   | 2020/04/24 | 2020/12/11 | 10.00          |
| 64036    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 R           | 40,000,000   | 2020/04/24 | 2020/12/04 | 10.00          |
| 64384    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 P              | 150,000,000  | 2020/04/27 | 2022/12/29 | 37.50          |
| 64390    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 R              | 150,000,000  | 2020/04/27 | 2020/10/29 | 37.50          |
| 64393    | BOCI Asia Ltd. - Tencent R Bear CBBC Oct 2020 L          | 40,000,000   | 2020/04/27 | 2020/10/30 | 10.00          |
| 64148    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 A   | 140,000,000  | 2020/04/27 | 2022/12/29 | 35.00          |
| 64108    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 E   | 150,000,000  | 2020/04/27 | 2022/12/29 | 37.50          |
| 64149    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 E   | 250,000,000  | 2020/04/27 | 2020/12/30 | 62.50          |
| 64153    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 F   | 250,000,000  | 2020/04/27 | 2020/12/30 | 62.50          |
| 64182    | Credit Suisse AG - Alibaba Group R Bull CBBC Oct 2020 G  | 80,000,000   | 2020/04/27 | 2020/10/29 | 20.00          |
| 64171    | Credit Suisse AG - CC Bank R Bull CBBC Dec 2020 C        | 100,000,000  | 2020/04/27 | 2020/12/30 | 25.00          |
| 64158    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 J            | 200,000,000  | 2020/04/27 | 2023/01/30 | 50.00          |
| 64169    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 K            | 200,000,000  | 2020/04/27 | 2023/01/30 | 50.00          |
| 64170    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 L            | 300,000,000  | 2020/04/27 | 2023/01/30 | 75.00          |
| 64154    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 D            | 200,000,000  | 2020/04/27 | 2020/10/29 | 50.00          |
| 64197    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 E            | 200,000,000  | 2020/04/27 | 2020/10/29 | 50.00          |
| 64155    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 E            | 200,000,000  | 2020/04/27 | 2020/11/27 | 50.00          |
| 64174    | Credit Suisse AG - ICBC R Bull CBBC Dec 2020 A           | 100,000,000  | 2020/04/27 | 2020/12/30 | 25.00          |
| 64611    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 P | 60,000,000   | 2020/04/27 | 2020/10/30 | 15.00          |
| 64602    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 N     | 160,000,000  | 2020/04/27 | 2022/10/28 | 40.00          |

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|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 64605    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 I       | 160,000,000  | 2020/04/27 | 2023/02/27 | 40.00          |
| 64680    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 L       | 160,000,000  | 2020/04/27 | 2023/02/27 | 40.00          |
| 64655    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 E       | 160,000,000  | 2020/04/27 | 2020/10/29 | 40.00          |
| 64672    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 J       | 160,000,000  | 2020/04/27 | 2020/10/29 | 40.00          |
| 64600    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 N       | 160,000,000  | 2020/04/27 | 2020/10/29 | 40.00          |
| 64630    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 T       | 160,000,000  | 2020/04/27 | 2020/12/30 | 40.00          |
| 64608    | Goldman Sachs SP (Asia) - Ping An R Bull CBBC Feb 2021 A   | 80,000,000   | 2020/04/27 | 2021/02/01 | 20.00          |
| 64628    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 I   | 60,000,000   | 2020/04/27 | 2020/10/30 | 15.00          |
| 64629    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Feb 2021 B   | 60,000,000   | 2020/04/27 | 2021/02/26 | 15.00          |
| 64625    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Feb 2021 H   | 60,000,000   | 2020/04/27 | 2021/02/26 | 15.00          |
| 64140    | HK Bank - Alibaba Group R Bull CBBC Sep 2020 J             | 40,000,000   | 2020/04/27 | 2020/09/17 | 10.00          |
| 64141    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 E             | 100,000,000  | 2020/04/27 | 2020/11/23 | 25.00          |
| 64147    | HK Bank - Alibaba Group R Bear CBBC Sep 2020 A             | 100,000,000  | 2020/04/27 | 2020/09/28 | 25.00          |
| 64110    | HK Bank - HSI R Bull CBBC Dec 2022 D                       | 60,000,000   | 2020/04/27 | 2022/12/29 | 15.00          |
| 64130    | HK Bank - HSI R Bear CBBC Sep 2020 Y                       | 80,000,000   | 2020/04/27 | 2020/09/29 | 20.00          |
| 64127    | HK Bank - Ping An R Bull CBBC Oct 2020 E                   | 60,000,000   | 2020/04/27 | 2020/10/27 | 15.00          |
| 64112    | HK Bank - Tencent R Bull CBBC Oct 2020 E                   | 40,000,000   | 2020/04/27 | 2020/10/19 | 10.00          |
| 64116    | HK Bank - Tencent R Bear CBBC Sep 2020 B                   | 40,000,000   | 2020/04/27 | 2020/09/07 | 10.00          |
| 64369    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Dec 2020 E   | 40,000,000   | 2020/04/27 | 2020/12/15 | 10.00          |
| 64370    | Haitong Int'l Sec - Galaxy Ent R Bear CBBC Dec 2020 B      | 40,000,000   | 2020/04/27 | 2020/12/22 | 10.00          |
| 64378    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 O             | 150,000,000  | 2020/04/27 | 2022/10/28 | 37.50          |
| 64383    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 V             | 150,000,000  | 2020/04/27 | 2022/11/29 | 37.50          |
| 64382    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 Z             | 150,000,000  | 2020/04/27 | 2020/09/29 | 37.50          |
| 64373    | Haitong Int'l Sec - SUNAC R Bull CBBC Jan 2021 B           | 40,000,000   | 2020/04/27 | 2021/01/28 | 10.00          |
| 64362    | Haitong Int'l Sec - Tencent R Bull CBBC Oct 2020 P         | 40,000,000   | 2020/04/27 | 2020/10/15 | 10.00          |
| 64368    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 M         | 40,000,000   | 2020/04/27 | 2020/11/17 | 10.00          |
| 64352    | J P Morgan SP BV - Alibaba Group R Bull CBBC Sep 2020 C    | 80,000,000   | 2020/04/27 | 2020/09/11 | 20.00          |
| 64327    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 P              | 200,000,000  | 2020/04/27 | 2023/02/27 | 50.00          |
| 64342    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 J              | 200,000,000  | 2020/04/27 | 2023/03/30 | 50.00          |
| 64343    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 K              | 200,000,000  | 2020/04/27 | 2023/03/30 | 50.00          |
| 64359    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 L              | 240,000,000  | 2020/04/27 | 2023/03/30 | 60.00          |
| 64324    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 G              | 200,000,000  | 2020/04/27 | 2020/10/29 | 50.00          |
| 64325    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 I              | 200,000,000  | 2020/04/27 | 2020/10/29 | 50.00          |
| 64357    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 K              | 200,000,000  | 2020/04/27 | 2020/10/29 | 50.00          |
| 64350    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Sep 2020 B | 80,000,000   | 2020/04/27 | 2020/09/11 | 20.00          |
| 64353    | J P Morgan SP BV - Tencent R Bear CBBC Sep 2020 A          | 50,000,000   | 2020/04/27 | 2020/09/11 | 12.50          |
| 64400    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 Q           | 60,000,000   | 2020/04/27 | 2020/10/29 | 15.00          |
| 64571    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 R           | 60,000,000   | 2020/04/27 | 2020/10/30 | 15.00          |
| 64455    | SG Issuer - China Life R Bear CBBC Feb 2021 A              | 150,000,000  | 2020/04/27 | 2021/02/25 | 37.50          |
| 64463    | SG Issuer - Geely Auto R Bull CBBC Nov 2020 A              | 40,000,000   | 2020/04/27 | 2020/11/30 | 10.00          |
| 64575    | SG Issuer - HKEX R Bull CBBC Dec 2020 G                    | 200,000,000  | 2020/04/27 | 2020/12/30 | 50.00          |
| 64579    | SG Issuer - HSBC R Bull CBBC Mar 2021 I                    | 100,000,000  | 2020/04/27 | 2021/03/30 | 25.00          |
| 64541    | SG Issuer - HSI R Bull CBBC Sep 2022 Q                     | 250,000,000  | 2020/04/27 | 2022/09/29 | 62.50          |
| 64487    | SG Issuer - HSI R Bull CBBC Oct 2022 P                     | 250,000,000  | 2020/04/27 | 2022/10/28 | 62.50          |
| 64553    | SG Issuer - HSI R Bull CBBC Dec 2022 D                     | 250,000,000  | 2020/04/27 | 2022/12/29 | 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) |
|----------|--------------------------------------------------------|--------------|------------|------------|----------------|
| 64488    | SG Issuer - HSI R Bull CBBC Apr 2023 K                 | 500,000,000  | 2020/04/27 | 2023/04/27 | 125.00         |
| 64563    | SG Issuer - HSI R Bull CBBC Apr 2023 L                 | 250,000,000  | 2020/04/27 | 2023/04/27 | 62.50          |
| 64564    | SG Issuer - HSI R Bull CBBC Apr 2023 M                 | 250,000,000  | 2020/04/27 | 2023/04/27 | 62.50          |
| 64489    | SG Issuer - HSI R Bear CBBC Sep 2020 G                 | 250,000,000  | 2020/04/27 | 2020/09/29 | 62.50          |
| 64494    | SG Issuer - HSI R Bear CBBC Nov 2020 R                 | 250,000,000  | 2020/04/27 | 2020/11/27 | 62.50          |
| 64509    | SG Issuer - HSI R Bear CBBC Nov 2020 S                 | 250,000,000  | 2020/04/27 | 2020/11/27 | 62.50          |
| 64524    | SG Issuer - HSI R Bear CBBC Dec 2020 L                 | 250,000,000  | 2020/04/27 | 2020/12/30 | 62.50          |
| 64525    | SG Issuer - HSI R Bear CBBC Dec 2020 M                 | 250,000,000  | 2020/04/27 | 2020/12/30 | 62.50          |
| 64529    | SG Issuer - HSI R Bear CBBC Dec 2020 S                 | 250,000,000  | 2020/04/27 | 2020/12/30 | 62.50          |
| 64482    | SG Issuer - Link REIT R Bull CBBC Jan 2021 B           | 60,000,000   | 2020/04/27 | 2021/01/28 | 15.00          |
| 64464    | SG Issuer - Ping An R Bear CBBC Nov 2020 C             | 100,000,000  | 2020/04/27 | 2020/11/27 | 25.00          |
| 64485    | SG Issuer - Tencent R Bull CBBC Sep 2020 B             | 80,000,000   | 2020/04/27 | 2020/09/30 | 20.00          |
| 64592    | SG Issuer - Tencent R Bull CBBC Nov 2020 B             | 80,000,000   | 2020/04/27 | 2020/11/30 | 20.00          |
| 64481    | SG Issuer - Tencent R Bear CBBC Nov 2020 E             | 80,000,000   | 2020/04/27 | 2020/11/27 | 20.00          |
| 64269    | UBS AG - Alibaba Group R Bull CBBC Nov 2020 K          | 80,000,000   | 2020/04/27 | 2020/11/30 | 20.00          |
| 64248    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 T          | 400,000,000  | 2020/04/27 | 2020/12/08 | 100.00         |
| 64236    | UBS AG - Alibaba Group R Bear CBBC Jan 2021 C          | 400,000,000  | 2020/04/27 | 2021/01/22 | 100.00         |
| 64263    | UBS AG - HSI R Bull CBBC Mar 2023 T                    | 200,000,000  | 2020/04/27 | 2023/03/30 | 50.00          |
| 64303    | UBS AG - HSI R Bull CBBC Apr 2023 A                    | 400,000,000  | 2020/04/27 | 2023/04/27 | 100.00         |
| 64311    | UBS AG - HSI R Bull CBBC Apr 2023 B                    | 200,000,000  | 2020/04/27 | 2023/04/27 | 50.00          |
| 64313    | UBS AG - HSI R Bull CBBC Apr 2023 C                    | 400,000,000  | 2020/04/27 | 2023/04/27 | 100.00         |
| 64318    | UBS AG - HSI R Bull CBBC Apr 2023 D                    | 200,000,000  | 2020/04/27 | 2023/04/27 | 50.00          |
| 64203    | UBS AG - HSI R Bear CBBC Jul 2020 O                    | 200,000,000  | 2020/04/27 | 2020/07/30 | 50.00          |
| 64272    | UBS AG - HSI R Bear CBBC Oct 2020 E                    | 200,000,000  | 2020/04/27 | 2020/10/29 | 50.00          |
| 64288    | UBS AG - HSI R Bear CBBC Oct 2020 F                    | 200,000,000  | 2020/04/27 | 2020/10/29 | 50.00          |
| 64295    | UBS AG - HSI R Bear CBBC Oct 2020 H                    | 200,000,000  | 2020/04/27 | 2020/10/29 | 50.00          |
| 64275    | UBS AG - HSI R Bear CBBC Oct 2020 M                    | 300,000,000  | 2020/04/27 | 2020/10/29 | 75.00          |
| 64323    | UBS AG - Meituan Dianping R Bull CBBC Dec 2020 V       | 50,000,000   | 2020/04/27 | 2020/12/28 | 12.50          |
| 64233    | UBS AG - Ping An R Bear CBBC Dec 2020 E                | 100,000,000  | 2020/04/27 | 2020/12/14 | 25.00          |
| 64268    | UBS AG - Tencent R Bull CBBC Nov 2020 Q                | 40,000,000   | 2020/04/27 | 2020/11/23 | 10.00          |
| 64227    | UBS AG - Tencent R Bear CBBC Dec 2020 I                | 40,000,000   | 2020/04/27 | 2020/12/14 | 10.00          |
| 64234    | UBS AG - Xiaomi R Bear CBBC Dec 2020 G                 | 60,000,000   | 2020/04/27 | 2020/12/08 | 15.00          |
| 67121    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 Q            | 150,000,000  | 2020/04/28 | 2022/12/29 | 37.50          |
| 67139    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 R            | 150,000,000  | 2020/04/28 | 2022/12/29 | 37.50          |
| 67145    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 M            | 150,000,000  | 2020/04/28 | 2020/10/29 | 37.50          |
| 67163    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 O            | 150,000,000  | 2020/04/28 | 2020/10/29 | 37.50          |
| 65771    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 F | 140,000,000  | 2020/04/28 | 2022/12/29 | 35.00          |
| 64943    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 G | 250,000,000  | 2020/04/28 | 2020/12/30 | 62.50          |
| 64949    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 H | 250,000,000  | 2020/04/28 | 2020/12/30 | 62.50          |
| 64962    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 I | 250,000,000  | 2020/04/28 | 2020/12/30 | 62.50          |
| 64977    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 J | 250,000,000  | 2020/04/28 | 2020/12/30 | 62.50          |
| 65052    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 K | 250,000,000  | 2020/04/28 | 2020/12/30 | 62.50          |
| 65082    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 L | 250,000,000  | 2020/04/28 | 2020/12/30 | 62.50          |
| 65786    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 M | 250,000,000  | 2020/04/28 | 2020/12/30 | 62.50          |
| 65863    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 N | 250,000,000  | 2020/04/28 | 2020/12/30 | 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 66120    | Credit Suisse AG - AIA R Bear CBBC Oct 2020 A            | 70,000,000   | 2020/04/28 | 2020/10/29 | 17.50          |
| 66119    | Credit Suisse AG - CNOOC R Bull CBBC Nov 2020 B          | 50,000,000   | 2020/04/28 | 2020/11/27 | 12.50          |
| 66082    | Credit Suisse AG - Galaxy Ent R Bear CBBC Oct 2020 G     | 100,000,000  | 2020/04/28 | 2020/10/29 | 25.00          |
| 65912    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 E            | 200,000,000  | 2020/04/28 | 2022/10/28 | 50.00          |
| 65931    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 M            | 200,000,000  | 2020/04/28 | 2023/01/30 | 50.00          |
| 65939    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 N            | 200,000,000  | 2020/04/28 | 2023/01/30 | 50.00          |
| 65983    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 O            | 200,000,000  | 2020/04/28 | 2023/01/30 | 50.00          |
| 65910    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 M            | 200,000,000  | 2020/04/28 | 2023/02/27 | 50.00          |
| 65998    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 F            | 200,000,000  | 2020/04/28 | 2020/10/29 | 50.00          |
| 66053    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 G            | 200,000,000  | 2020/04/28 | 2020/10/29 | 50.00          |
| 66045    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 F            | 200,000,000  | 2020/04/28 | 2020/11/27 | 50.00          |
| 66010    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 Q            | 300,000,000  | 2020/04/28 | 2020/12/30 | 75.00          |
| 66132    | Credit Suisse AG - Ping An R Bear CBBC Sep 2020 A        | 80,000,000   | 2020/04/28 | 2020/09/29 | 20.00          |
| 66094    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 G        | 50,000,000   | 2020/04/28 | 2020/10/29 | 12.50          |
| 66105    | Credit Suisse AG - Tencent R Bear CBBC Aug 2020 G        | 50,000,000   | 2020/04/28 | 2020/08/28 | 12.50          |
| 67438    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 Q | 60,000,000   | 2020/04/28 | 2020/10/30 | 15.00          |
| 67402    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Feb 2021 A | 60,000,000   | 2020/04/28 | 2021/02/01 | 15.00          |
| 67568    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 J     | 160,000,000  | 2020/04/28 | 2022/10/28 | 40.00          |
| 67170    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 P     | 160,000,000  | 2020/04/28 | 2022/10/28 | 40.00          |
| 67217    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 R     | 160,000,000  | 2020/04/28 | 2022/10/28 | 40.00          |
| 67226    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 X     | 160,000,000  | 2020/04/28 | 2022/12/29 | 40.00          |
| 67384    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jan 2023 Z     | 160,000,000  | 2020/04/28 | 2023/01/30 | 40.00          |
| 67261    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 U     | 160,000,000  | 2020/04/28 | 2023/02/27 | 40.00          |
| 67348    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 I     | 160,000,000  | 2020/04/28 | 2023/04/27 | 40.00          |
| 67396    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 J     | 160,000,000  | 2020/04/28 | 2023/04/27 | 40.00          |
| 67336    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 K     | 160,000,000  | 2020/04/28 | 2020/10/29 | 40.00          |
| 67321    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 O     | 160,000,000  | 2020/04/28 | 2020/10/29 | 40.00          |
| 67343    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 P     | 160,000,000  | 2020/04/28 | 2020/10/29 | 40.00          |
| 67331    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 C     | 160,000,000  | 2020/04/28 | 2020/11/27 | 40.00          |
| 67345    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 S     | 160,000,000  | 2020/04/28 | 2020/11/27 | 40.00          |
| 67460    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 J | 60,000,000   | 2020/04/28 | 2020/10/30 | 15.00          |
| 67506    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Feb 2021 C | 60,000,000   | 2020/04/28 | 2021/02/26 | 15.00          |
| 67446    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Feb 2021 I | 60,000,000   | 2020/04/28 | 2021/02/26 | 15.00          |
| 64838    | HK Bank - AIA R Bear CBBC Oct 2020 A                     | 40,000,000   | 2020/04/28 | 2020/10/05 | 10.00          |
| 64784    | HK Bank - Alibaba Group R Bear CBBC Sep 2020 B           | 40,000,000   | 2020/04/28 | 2020/09/07 | 10.00          |
| 64788    | HK Bank - CC Bank R Bear CBBC Sep 2020 A                 | 40,000,000   | 2020/04/28 | 2020/09/14 | 10.00          |
| 64782    | HK Bank - Galaxy Ent R Bear CBBC Oct 2020 A              | 40,000,000   | 2020/04/28 | 2020/10/19 | 10.00          |
| 64776    | HK Bank - HSI R Bull CBBC Sep 2022 O                     | 100,000,000  | 2020/04/28 | 2022/09/29 | 25.00          |
| 64910    | HK Bank - HSI R Bull CBBC Dec 2022 A                     | 60,000,000   | 2020/04/28 | 2022/12/29 | 15.00          |
| 64780    | HK Bank - HSI R Bull CBBC Dec 2022 E                     | 100,000,000  | 2020/04/28 | 2022/12/29 | 25.00          |
| 64843    | HK Bank - HSI R Bear CBBC Sep 2020 Z                     | 60,000,000   | 2020/04/28 | 2020/09/29 | 15.00          |
| 64815    | HK Bank - ICBC R Bear CBBC Sep 2020 A                    | 40,000,000   | 2020/04/28 | 2020/09/14 | 10.00          |
| 64881    | HK Bank - Sunny Optical R Bear CBBC Sep 2020 A           | 40,000,000   | 2020/04/28 | 2020/09/14 | 10.00          |
| 64908    | HK Bank - Tencent R Bear CBBC Sep 2020 C                 | 40,000,000   | 2020/04/28 | 2020/09/21 | 10.00          |
| 66525    | Haitong Int'l Sec - AAC Tech R Bull CBBC Dec 2020 D      | 40,000,000   | 2020/04/28 | 2020/12/17 | 10.00          |

# 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) |
|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 66531    | Haitong Int'l Sec - Alibaba Group R Bear CBBC Nov 2020 G  | 40,000,000   | 2020/04/28 | 2020/11/17 | 10.00          |
| 66517    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 P            | 200,000,000  | 2020/04/28 | 2022/10/28 | 50.00          |
| 66542    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 R            | 150,000,000  | 2020/04/28 | 2022/10/28 | 37.50          |
| 66570    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 U            | 300,000,000  | 2020/04/28 | 2022/10/28 | 75.00          |
| 66413    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 Y            | 150,000,000  | 2020/04/28 | 2022/10/28 | 37.50          |
| 66412    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 W            | 150,000,000  | 2020/04/28 | 2022/11/29 | 37.50          |
| 66434    | Haitong Int'l Sec - HSI R Bear CBBC Jul 2020 H            | 150,000,000  | 2020/04/28 | 2020/07/30 | 37.50          |
| 66484    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 M            | 150,000,000  | 2020/04/28 | 2020/09/29 | 37.50          |
| 66447    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 W            | 150,000,000  | 2020/04/28 | 2020/11/27 | 37.50          |
| 66528    | Haitong Int'l Sec - Tencent R Bear CBBC Dec 2020 D        | 40,000,000   | 2020/04/28 | 2020/12/15 | 10.00          |
| 66161    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 P             | 200,000,000  | 2020/04/28 | 2023/01/30 | 50.00          |
| 66207    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 T             | 200,000,000  | 2020/04/28 | 2023/01/30 | 50.00          |
| 66306    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 W             | 200,000,000  | 2020/04/28 | 2023/01/30 | 50.00          |
| 66173    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 L             | 200,000,000  | 2020/04/28 | 2023/02/27 | 50.00          |
| 66232    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Q             | 200,000,000  | 2020/04/28 | 2023/02/27 | 50.00          |
| 66313    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 R             | 240,000,000  | 2020/04/28 | 2023/02/27 | 60.00          |
| 66190    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 M             | 200,000,000  | 2020/04/28 | 2023/03/30 | 50.00          |
| 66237    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 V             | 200,000,000  | 2020/04/28 | 2020/11/27 | 50.00          |
| 66266    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 W             | 200,000,000  | 2020/04/28 | 2020/11/27 | 50.00          |
| 66282    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 F             | 200,000,000  | 2020/04/28 | 2020/12/30 | 50.00          |
| 66258    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 W             | 200,000,000  | 2020/04/28 | 2020/12/30 | 50.00          |
| 65134    | Morgan Stanley Asia Products - HSI R Bull CBBC Jun 2022 N | 200,000,000  | 2020/04/28 | 2022/06/29 | 50.00          |
| 64715    | Morgan Stanley Asia Products - HSI R Bull CBBC Aug 2022 M | 150,000,000  | 2020/04/28 | 2022/08/30 | 37.50          |
| 64690    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 I | 150,000,000  | 2020/04/28 | 2022/11/29 | 37.50          |
| 64692    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 G | 150,000,000  | 2020/04/28 | 2023/01/30 | 37.50          |
| 64699    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 B | 150,000,000  | 2020/04/28 | 2023/02/27 | 37.50          |
| 65219    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 U | 150,000,000  | 2020/04/28 | 2020/08/28 | 37.50          |
| 65207    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 N | 150,000,000  | 2020/04/28 | 2020/09/29 | 37.50          |
| 65083    | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 B | 200,000,000  | 2020/04/28 | 2020/12/30 | 50.00          |
| 65131    | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 C | 150,000,000  | 2020/04/28 | 2020/12/30 | 37.50          |
| 66705    | SG Issuer - Alibaba Group R Bull CBBC Aug 2020 K          | 60,000,000   | 2020/04/28 | 2020/08/31 | 15.00          |
| 66918    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 T          | 60,000,000   | 2020/04/28 | 2020/11/27 | 15.00          |
| 66925    | SG Issuer - CM Bank R Bear CBBC Dec 2020 A                | 100,000,000  | 2020/04/28 | 2020/12/30 | 25.00          |
| 67069    | SG Issuer - HSI R Bull CBBC Sep 2022 R                    | 250,000,000  | 2020/04/28 | 2022/09/29 | 62.50          |
| 67087    | SG Issuer - HSI R Bull CBBC Oct 2022 F                    | 250,000,000  | 2020/04/28 | 2022/10/28 | 62.50          |
| 67108    | SG Issuer - HSI R Bull CBBC Oct 2022 I                    | 250,000,000  | 2020/04/28 | 2022/10/28 | 62.50          |
| 66877    | SG Issuer - HSI R Bull CBBC Nov 2022 D                    | 500,000,000  | 2020/04/28 | 2022/11/29 | 125.00         |
| 66887    | SG Issuer - HSI R Bull CBBC Dec 2022 B                    | 250,000,000  | 2020/04/28 | 2022/12/29 | 62.50          |
| 66894    | SG Issuer - HSI R Bull CBBC Jan 2023 W                    | 250,000,000  | 2020/04/28 | 2023/01/30 | 62.50          |
| 66906    | SG Issuer - HSI R Bull CBBC Jan 2023 X                    | 250,000,000  | 2020/04/28 | 2023/01/30 | 62.50          |
| 66916    | SG Issuer - HSI R Bull CBBC Feb 2023 R                    | 250,000,000  | 2020/04/28 | 2023/02/27 | 62.50          |
| 66947    | SG Issuer - HSI R Bear CBBC Oct 2020 B                    | 250,000,000  | 2020/04/28 | 2020/10/29 | 62.50          |
| 66995    | SG Issuer - HSI R Bear CBBC Oct 2020 C                    | 250,000,000  | 2020/04/28 | 2020/10/29 | 62.50          |
| 66955    | SG Issuer - HSI R Bear CBBC Nov 2020 J                    | 250,000,000  | 2020/04/28 | 2020/11/27 | 62.50          |
| 67003    | SG Issuer - HSI R Bear CBBC Nov 2020 N                    | 250,000,000  | 2020/04/28 | 2020/11/27 | 62.50          |

# 主板 可收回牛熊證

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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 67046    | SG Issuer - HSI R Bear CBBC Nov 2020 Q                  | 250,000,000  | 2020/04/28 | 2020/11/27 | 62.50          |
| 67055    | SG Issuer - HSI R Bear CBBC Dec 2020 T                  | 250,000,000  | 2020/04/28 | 2020/12/30 | 62.50          |
| 66716    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 R     | 100,000,000  | 2020/04/28 | 2020/12/30 | 25.00          |
| 66756    | SG Issuer - Sunny Optical R Bull CBBC Nov 2020 B        | 60,000,000   | 2020/04/28 | 2020/11/30 | 15.00          |
| 66828    | SG Issuer - Tencent R Bull CBBC Aug 2020 I              | 80,000,000   | 2020/04/28 | 2020/08/28 | 20.00          |
| 66850    | SG Issuer - Tencent R Bull CBBC Aug 2020 L              | 80,000,000   | 2020/04/28 | 2020/08/31 | 20.00          |
| 66942    | SG Issuer - Tencent R Bear CBBC Dec 2020 Z              | 80,000,000   | 2020/04/28 | 2020/12/30 | 20.00          |
| 66859    | SG Issuer - Xiaomi R Bull CBBC Nov 2020 C               | 60,000,000   | 2020/04/28 | 2020/11/30 | 15.00          |
| 65715    | UBS AG - AAC Tech R Bull CBBC Feb 2021 A                | 60,000,000   | 2020/04/28 | 2021/02/24 | 15.00          |
| 65700    | UBS AG - AAC Tech R Bear CBBC Nov 2020 A                | 60,000,000   | 2020/04/28 | 2020/11/30 | 15.00          |
| 65585    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 C           | 400,000,000  | 2020/04/28 | 2021/02/24 | 100.00         |
| 65633    | UBS AG - CNOOC R Bull CBBC Nov 2020 A                   | 40,000,000   | 2020/04/28 | 2020/11/30 | 10.00          |
| 65665    | UBS AG - CNOOC R Bull CBBC Dec 2020 H                   | 40,000,000   | 2020/04/28 | 2020/12/22 | 10.00          |
| 65618    | UBS AG - CNOOC R Bear CBBC Nov 2020 A                   | 40,000,000   | 2020/04/28 | 2020/11/30 | 10.00          |
| 65487    | UBS AG - HSI R Bull CBBC Sep 2022 D                     | 200,000,000  | 2020/04/28 | 2022/09/29 | 50.00          |
| 65509    | UBS AG - HSI R Bull CBBC Sep 2022 E                     | 200,000,000  | 2020/04/28 | 2022/09/29 | 50.00          |
| 65526    | UBS AG - HSI R Bull CBBC Sep 2022 F                     | 200,000,000  | 2020/04/28 | 2022/09/29 | 50.00          |
| 65559    | UBS AG - HSI R Bull CBBC Sep 2022 G                     | 200,000,000  | 2020/04/28 | 2022/09/29 | 50.00          |
| 65286    | UBS AG - HSI R Bull CBBC Mar 2023 C                     | 200,000,000  | 2020/04/28 | 2023/03/30 | 50.00          |
| 65248    | UBS AG - HSI R Bull CBBC Mar 2023 E                     | 200,000,000  | 2020/04/28 | 2023/03/30 | 50.00          |
| 65233    | UBS AG - HSI R Bull CBBC Mar 2023 U                     | 200,000,000  | 2020/04/28 | 2023/03/30 | 50.00          |
| 65239    | UBS AG - HSI R Bull CBBC Mar 2023 V                     | 200,000,000  | 2020/04/28 | 2023/03/30 | 50.00          |
| 65264    | UBS AG - HSI R Bull CBBC Mar 2023 W                     | 200,000,000  | 2020/04/28 | 2023/03/30 | 50.00          |
| 65395    | UBS AG - HSI R Bear CBBC Oct 2020 I                     | 200,000,000  | 2020/04/28 | 2020/10/29 | 50.00          |
| 65426    | UBS AG - HSI R Bear CBBC Jan 2021 M                     | 200,000,000  | 2020/04/28 | 2021/01/28 | 50.00          |
| 65470    | UBS AG - HSI R Bear CBBC Jan 2021 N                     | 400,000,000  | 2020/04/28 | 2021/01/28 | 100.00         |
| 65474    | UBS AG - HSI R Bear CBBC Jan 2021 O                     | 200,000,000  | 2020/04/28 | 2021/01/28 | 50.00          |
| 65481    | UBS AG - HSI R Bear CBBC Jan 2021 P                     | 400,000,000  | 2020/04/28 | 2021/01/28 | 100.00         |
| 65613    | UBS AG - Meituan Dianping R Bull CBBC Feb 2021 A        | 50,000,000   | 2020/04/28 | 2021/02/24 | 12.50          |
| 65616    | UBS AG - Meituan Dianping R Bear CBBC Feb 2021 A        | 50,000,000   | 2020/04/28 | 2021/02/24 | 12.50          |
| 65724    | UBS AG - SHK Ppt R Bull CBBC Dec 2020 E                 | 40,000,000   | 2020/04/28 | 2020/12/31 | 10.00          |
| 65424    | UBS AG - SHK Ppt R Bear CBBC Dec 2020 A                 | 40,000,000   | 2020/04/28 | 2020/12/31 | 10.00          |
| 65717    | UBS AG - Sunny Optical R Bear CBBC Dec 2020 C           | 30,000,000   | 2020/04/28 | 2020/12/31 | 10.20          |
| 65388    | UBS AG - Tencent R Bull CBBC Nov 2020 R                 | 40,000,000   | 2020/04/28 | 2020/11/20 | 10.00          |
| 65583    | UBS AG - Tencent R Bull CBBC Feb 2021 C                 | 200,000,000  | 2020/04/28 | 2021/02/24 | 50.00          |
| 65406    | UBS AG - Tencent R Bear CBBC Dec 2020 K                 | 40,000,000   | 2020/04/28 | 2020/12/17 | 10.00          |
| 66605    | Bank Vontobel - AAC Tech R Bear CBBC Dec 2020 D         | 40,000,000   | 2020/04/28 | 2020/12/04 | 10.00          |
| 66579    | Bank Vontobel - AIA R Bear CBBC Dec 2020 E              | 40,000,000   | 2020/04/28 | 2020/12/11 | 10.00          |
| 66694    | Bank Vontobel - CNOOC R Bull CBBC Dec 2020 N            | 40,000,000   | 2020/04/28 | 2020/12/11 | 10.00          |
| 66631    | Bank Vontobel - CSPC Pharma R Bear CBBC Dec 2020 B      | 40,000,000   | 2020/04/28 | 2020/12/11 | 11.64          |
| 66581    | Bank Vontobel - ICBC R Bear CBBC Dec 2020 B             | 40,000,000   | 2020/04/28 | 2020/12/18 | 10.00          |
| 66692    | Bank Vontobel - Meituan Dianping R Bear CBBC Dec 2020 R | 40,000,000   | 2020/04/28 | 2020/12/04 | 10.00          |
| 66682    | Bank Vontobel - Tencent R Bear CBBC Nov 2020 K          | 40,000,000   | 2020/04/28 | 2020/11/20 | 10.00          |
| 68520    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 M             | 150,000,000  | 2020/04/29 | 2022/12/29 | 37.50          |
| 68523    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 S             | 150,000,000  | 2020/04/29 | 2022/12/29 | 37.50          |

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|----------|---------------------------------------------------------------|--------------|------------|------------|----------------|
| 68524    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 T                   | 150,000,000  | 2020/04/29 | 2022/12/29 | 37.50          |
| 68770    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 U                   | 200,000,000  | 2020/04/29 | 2022/12/29 | 52.00          |
| 67773    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 S                   | 150,000,000  | 2020/04/29 | 2020/10/29 | 37.50          |
| 67778    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 V                   | 150,000,000  | 2020/04/29 | 2020/10/29 | 37.50          |
| 67825    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 W                   | 150,000,000  | 2020/04/29 | 2020/10/29 | 37.50          |
| 68519    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 S               | 40,000,000   | 2020/04/29 | 2020/10/30 | 10.00          |
| 67674    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 A        | 150,000,000  | 2020/04/29 | 2022/11/29 | 37.50          |
| 67688    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 B        | 150,000,000  | 2020/04/29 | 2022/11/29 | 37.50          |
| 67695    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 C        | 150,000,000  | 2020/04/29 | 2022/11/29 | 37.50          |
| 67699    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 D        | 150,000,000  | 2020/04/29 | 2022/11/29 | 37.50          |
| 67708    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 E        | 150,000,000  | 2020/04/29 | 2022/11/29 | 37.50          |
| 67711    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 F        | 150,000,000  | 2020/04/29 | 2022/11/29 | 37.50          |
| 67727    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 G        | 150,000,000  | 2020/04/29 | 2022/11/29 | 37.50          |
| 67744    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 H        | 150,000,000  | 2020/04/29 | 2022/11/29 | 37.50          |
| 68227    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 I        | 150,000,000  | 2020/04/29 | 2022/11/29 | 37.50          |
| 68242    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 J        | 150,000,000  | 2020/04/29 | 2022/11/29 | 37.50          |
| 68281    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 U        | 240,000,000  | 2020/04/29 | 2020/11/27 | 60.00          |
| 67765    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 O        | 250,000,000  | 2020/04/29 | 2020/12/30 | 62.50          |
| 68383    | Credit Suisse AG - AAC Tech R Bear CBBC Nov 2020 C            | 50,000,000   | 2020/04/29 | 2020/11/27 | 12.50          |
| 68447    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 D                 | 200,000,000  | 2020/04/29 | 2022/11/29 | 50.00          |
| 68451    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 R                 | 200,000,000  | 2020/04/29 | 2022/11/29 | 50.00          |
| 68431    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 N                 | 200,000,000  | 2020/04/29 | 2023/02/27 | 50.00          |
| 68443    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 O                 | 300,000,000  | 2020/04/29 | 2023/02/27 | 75.00          |
| 68340    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 H                 | 200,000,000  | 2020/04/29 | 2020/10/29 | 50.00          |
| 68285    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 I                 | 200,000,000  | 2020/04/29 | 2020/10/29 | 50.00          |
| 68352    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 J                 | 200,000,000  | 2020/04/29 | 2020/10/29 | 50.00          |
| 68286    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 H                 | 200,000,000  | 2020/04/29 | 2020/11/27 | 50.00          |
| 68330    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 J                 | 200,000,000  | 2020/04/29 | 2020/11/27 | 50.00          |
| 68356    | Credit Suisse AG - Xiaomi R Bull CBBC Sep 2020 E              | 50,000,000   | 2020/04/29 | 2020/09/29 | 12.50          |
| 68820    | Goldman Sachs SP (Asia) - AIA R Bull CBBC Nov 2020 B          | 60,000,000   | 2020/04/29 | 2020/11/30 | 15.00          |
| 68816    | Goldman Sachs SP (Asia) - China Mobile R Bull CBBC Feb 2021 A | 60,000,000   | 2020/04/29 | 2021/02/26 | 15.00          |
| 68794    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 L          | 160,000,000  | 2020/04/29 | 2022/10/28 | 40.00          |
| 68773    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 T          | 160,000,000  | 2020/04/29 | 2022/11/29 | 40.00          |
| 68772    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 L          | 160,000,000  | 2020/04/29 | 2022/12/29 | 40.00          |
| 68787    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 K          | 160,000,000  | 2020/04/29 | 2023/04/27 | 40.00          |
| 68778    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 Q          | 160,000,000  | 2020/04/29 | 2020/10/29 | 40.00          |
| 68797    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 R          | 160,000,000  | 2020/04/29 | 2020/10/29 | 40.00          |
| 68803    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 S          | 160,000,000  | 2020/04/29 | 2020/10/29 | 40.00          |
| 68782    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 T          | 160,000,000  | 2020/04/29 | 2020/11/27 | 40.00          |
| 68801    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 U          | 160,000,000  | 2020/04/29 | 2020/11/27 | 40.00          |
| 68805    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 V          | 160,000,000  | 2020/04/29 | 2020/11/27 | 40.00          |
| 68823    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Feb 2021 D      | 60,000,000   | 2020/04/29 | 2021/02/26 | 15.00          |
| 68819    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Feb 2021 D      | 60,000,000   | 2020/04/29 | 2021/02/26 | 15.00          |
| 67670    | HK Bank - Alibaba Group R Bull CBBC Sep 2020 K                | 40,000,000   | 2020/04/29 | 2020/09/24 | 10.00          |
| 67578    | HK Bank - HSI R Bull CBBC Sep 2022 H                          | 80,000,000   | 2020/04/29 | 2022/09/29 | 20.00          |

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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 67580    | HK Bank - HSI R Bear CBBC Sep 2020 A                      | 60,000,000   | 2020/04/29 | 2020/09/29 | 15.00          |
| 67579    | HK Bank - Meituan Dianping R Bull CBBC Oct 2020 B         | 40,000,000   | 2020/04/29 | 2020/10/05 | 10.00          |
| 67622    | HK Bank - Tencent R Bear CBBC Sep 2020 D                  | 40,000,000   | 2020/04/29 | 2020/09/29 | 10.00          |
| 68594    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 D            | 200,000,000  | 2020/04/29 | 2023/03/30 | 50.00          |
| 68597    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 E            | 150,000,000  | 2020/04/29 | 2023/03/30 | 37.50          |
| 68607    | Haitong Int'l Sec - HSI R Bear CBBC Jul 2020 A            | 150,000,000  | 2020/04/29 | 2020/07/30 | 37.50          |
| 68602    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 T            | 150,000,000  | 2020/04/29 | 2020/10/29 | 37.50          |
| 68604    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 O            | 150,000,000  | 2020/04/29 | 2020/12/30 | 37.50          |
| 68467    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 X             | 200,000,000  | 2020/04/29 | 2023/01/30 | 50.00          |
| 68514    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 Z             | 200,000,000  | 2020/04/29 | 2023/01/30 | 50.00          |
| 68473    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 T             | 200,000,000  | 2020/04/29 | 2023/02/27 | 50.00          |
| 68505    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 A             | 240,000,000  | 2020/04/29 | 2020/11/27 | 60.00          |
| 68489    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 X             | 200,000,000  | 2020/04/29 | 2020/11/27 | 50.00          |
| 68490    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 V             | 200,000,000  | 2020/04/29 | 2020/12/30 | 50.00          |
| 68511    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 X             | 200,000,000  | 2020/04/29 | 2020/12/30 | 50.00          |
| 68593    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 H | 150,000,000  | 2020/04/29 | 2022/11/29 | 37.50          |
| 68567    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 H | 150,000,000  | 2020/04/29 | 2023/01/30 | 37.50          |
| 68539    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 O | 150,000,000  | 2020/04/29 | 2020/09/29 | 37.50          |
| 68664    | SG Issuer - AAC Tech R Bull CBBC Dec 2020 J               | 100,000,000  | 2020/04/29 | 2020/12/30 | 25.00          |
| 68673    | SG Issuer - AIA R Bull CBBC Jan 2021 C                    | 60,000,000   | 2020/04/29 | 2021/01/28 | 15.00          |
| 68670    | SG Issuer - AIA R Bear CBBC Dec 2020 A                    | 60,000,000   | 2020/04/29 | 2020/12/30 | 15.00          |
| 68677    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 S          | 60,000,000   | 2020/04/29 | 2020/10/29 | 15.00          |
| 68720    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 U          | 60,000,000   | 2020/04/29 | 2020/11/27 | 15.00          |
| 68685    | SG Issuer - CSPC Pharma R Bull CBBC Feb 2021 A            | 150,000,000  | 2020/04/29 | 2021/02/26 | 37.50          |
| 68690    | SG Issuer - Geely Auto R Bear CBBC Oct 2020 A             | 40,000,000   | 2020/04/29 | 2020/10/29 | 10.00          |
| 68687    | SG Issuer - Galaxy Ent R Bear CBBC Dec 2020 E             | 100,000,000  | 2020/04/29 | 2020/12/30 | 25.00          |
| 68747    | SG Issuer - HSI R Bull CBBC Dec 2022 C                    | 250,000,000  | 2020/04/29 | 2022/12/29 | 62.50          |
| 68748    | SG Issuer - HSI R Bull CBBC Jan 2023 V                    | 250,000,000  | 2020/04/29 | 2023/01/30 | 62.50          |
| 68749    | SG Issuer - HSI R Bull CBBC Jan 2023 Y                    | 500,000,000  | 2020/04/29 | 2023/01/30 | 125.00         |
| 68753    | SG Issuer - HSI R Bull CBBC Feb 2023 T                    | 250,000,000  | 2020/04/29 | 2023/02/27 | 62.50          |
| 68754    | SG Issuer - HSI R Bull CBBC Apr 2023 N                    | 250,000,000  | 2020/04/29 | 2023/04/27 | 62.50          |
| 68701    | SG Issuer - HSI R Bear CBBC Oct 2020 E                    | 250,000,000  | 2020/04/29 | 2020/10/29 | 62.50          |
| 68704    | SG Issuer - HSI R Bear CBBC Oct 2020 X                    | 250,000,000  | 2020/04/29 | 2020/10/29 | 62.50          |
| 68708    | SG Issuer - HSI R Bear CBBC Nov 2020 T                    | 250,000,000  | 2020/04/29 | 2020/11/27 | 62.50          |
| 68713    | SG Issuer - HSI R Bear CBBC Nov 2020 U                    | 250,000,000  | 2020/04/29 | 2020/11/27 | 62.50          |
| 68741    | SG Issuer - HSI R Bear CBBC Dec 2020 K                    | 250,000,000  | 2020/04/29 | 2020/12/30 | 62.50          |
| 68715    | SG Issuer - HSI R Bear CBBC Jan 2021 F                    | 500,000,000  | 2020/04/29 | 2021/01/28 | 125.00         |
| 68743    | SG Issuer - HSI R Bear CBBC Jan 2021 G                    | 250,000,000  | 2020/04/29 | 2021/01/28 | 62.50          |
| 68757    | SG Issuer - Meituan Dianping R Bull CBBC Nov 2020 K       | 100,000,000  | 2020/04/29 | 2020/11/30 | 25.00          |
| 68692    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 E       | 100,000,000  | 2020/04/29 | 2020/12/30 | 25.00          |
| 68761    | SG Issuer - Tencent R Bull CBBC Jul 2020 W                | 80,000,000   | 2020/04/29 | 2020/07/31 | 20.00          |
| 68766    | SG Issuer - Tencent R Bull CBBC Nov 2020 C                | 80,000,000   | 2020/04/29 | 2020/11/30 | 20.00          |
| 68723    | SG Issuer - Tencent R Bear CBBC Oct 2020 U                | 200,000,000  | 2020/04/29 | 2020/10/29 | 50.00          |
| 68693    | SG Issuer - Tencent R Bear CBBC Nov 2020 F                | 80,000,000   | 2020/04/29 | 2020/11/27 | 20.00          |
| 68734    | SG Issuer - Tencent R Bear CBBC Jan 2021 A                | 80,000,000   | 2020/04/29 | 2021/01/29 | 20.00          |

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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 68202    | UBS AG - Galaxy Ent R Bear CBBC Dec 2020 F              | 60,000,000   | 2020/04/29 | 2020/12/07 | 15.00          |
| 68085    | UBS AG - HSBC R Bear CBBC Jan 2021 B                    | 100,000,000  | 2020/04/29 | 2021/01/25 | 25.00          |
| 68093    | UBS AG - HSI R Bull CBBC Sep 2022 H                     | 200,000,000  | 2020/04/29 | 2022/09/29 | 50.00          |
| 68094    | UBS AG - HSI R Bull CBBC Sep 2022 L                     | 200,000,000  | 2020/04/29 | 2022/09/29 | 50.00          |
| 68136    | UBS AG - HSI R Bull CBBC Sep 2022 M                     | 200,000,000  | 2020/04/29 | 2022/09/29 | 50.00          |
| 68139    | UBS AG - HSI R Bull CBBC Sep 2022 N                     | 200,000,000  | 2020/04/29 | 2022/09/29 | 50.00          |
| 67832    | UBS AG - HSI R Bull CBBC Nov 2022 A                     | 200,000,000  | 2020/04/29 | 2022/11/29 | 50.00          |
| 67842    | UBS AG - HSI R Bull CBBC Nov 2022 E                     | 200,000,000  | 2020/04/29 | 2022/11/29 | 50.00          |
| 67860    | UBS AG - HSI R Bull CBBC Nov 2022 I                     | 200,000,000  | 2020/04/29 | 2022/11/29 | 50.00          |
| 67922    | UBS AG - HSI R Bear CBBC Jan 2021 Q                     | 200,000,000  | 2020/04/29 | 2021/01/28 | 50.00          |
| 67976    | UBS AG - HSI R Bear CBBC Jan 2021 R                     | 200,000,000  | 2020/04/29 | 2021/01/28 | 50.00          |
| 68006    | UBS AG - HSI R Bear CBBC Jan 2021 S                     | 200,000,000  | 2020/04/29 | 2021/01/28 | 50.00          |
| 68012    | UBS AG - HSI R Bear CBBC Jan 2021 T                     | 200,000,000  | 2020/04/29 | 2021/01/28 | 50.00          |
| 68043    | UBS AG - HSI R Bear CBBC Jan 2021 U                     | 200,000,000  | 2020/04/29 | 2021/01/28 | 50.00          |
| 68075    | UBS AG - HSI R Bear CBBC Jan 2021 V                     | 200,000,000  | 2020/04/29 | 2021/01/28 | 50.00          |
| 68082    | UBS AG - HSI R Bear CBBC Jan 2021 W                     | 200,000,000  | 2020/04/29 | 2021/01/28 | 50.00          |
| 68083    | UBS AG - Meituan Dianping R Bull CBBC Dec 2020 W        | 50,000,000   | 2020/04/29 | 2020/12/10 | 12.50          |
| 68179    | UBS AG - Sunny Optical R Bull CBBC Dec 2020 I           | 30,000,000   | 2020/04/29 | 2020/12/21 | 10.20          |
| 67898    | UBS AG - Tencent R Bull CBBC Jan 2021 F                 | 200,000,000  | 2020/04/29 | 2021/01/22 | 50.00          |
| 67902    | UBS AG - Tencent R Bear CBBC Dec 2020 P                 | 40,000,000   | 2020/04/29 | 2020/12/07 | 10.00          |
| 68173    | UBS AG - Xiaomi R Bull CBBC Dec 2020 M                  | 60,000,000   | 2020/04/29 | 2020/12/10 | 15.00          |
| 68642    | Bank Vontobel - AIA R Bull CBBC Dec 2020 H              | 40,000,000   | 2020/04/29 | 2020/12/11 | 10.00          |
| 68608    | Bank Vontobel - China Res Land R Bull CBBC Dec 2020 A   | 40,000,000   | 2020/04/29 | 2020/12/04 | 10.00          |
| 68616    | Bank Vontobel - China Res Land R Bull CBBC Dec 2020 B   | 40,000,000   | 2020/04/29 | 2020/12/11 | 10.00          |
| 68660    | Bank Vontobel - Galaxy Ent R Bull CBBC Dec 2020 N       | 40,000,000   | 2020/04/29 | 2020/12/18 | 10.00          |
| 68636    | Bank Vontobel - HSBC R Bull CBBC Dec 2020 I             | 40,000,000   | 2020/04/29 | 2020/12/18 | 10.00          |
| 68650    | Bank Vontobel - HSI R Bull CBBC Dec 2022 A              | 80,000,000   | 2020/04/29 | 2022/12/29 | 20.00          |
| 68651    | Bank Vontobel - HSI R Bull CBBC Dec 2022 B              | 80,000,000   | 2020/04/29 | 2022/12/29 | 20.00          |
| 68644    | Bank Vontobel - HSI R Bull CBBC Dec 2022 Z              | 80,000,000   | 2020/04/29 | 2022/12/29 | 20.00          |
| 68653    | Bank Vontobel - HSI R Bear CBBC Dec 2020 C              | 80,000,000   | 2020/04/29 | 2020/12/30 | 20.00          |
| 68656    | Bank Vontobel - HSI R Bear CBBC Dec 2020 D              | 80,000,000   | 2020/04/29 | 2020/12/30 | 20.00          |
| 68619    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 S | 60,000,000   | 2020/04/29 | 2020/12/04 | 15.00          |
| 68629    | Bank Vontobel - Sunny Optical R Bear CBBC Dec 2020 F    | 40,000,000   | 2020/04/29 | 2020/12/04 | 10.00          |
| 68633    | Bank Vontobel - Tencent R Bull CBBC Nov 2020 O          | 40,000,000   | 2020/04/29 | 2020/11/13 | 10.00          |
| 68640    | Bank Vontobel - Tencent R Bull CBBC Nov 2020 P          | 40,000,000   | 2020/04/29 | 2020/11/06 | 10.00          |
| 68864    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 K  | 150,000,000  | 2020/05/04 | 2022/11/29 | 37.50          |
| 69117    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 L  | 140,000,000  | 2020/05/04 | 2022/11/29 | 35.00          |
| 68832    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 V  | 250,000,000  | 2020/05/04 | 2020/11/27 | 62.50          |
| 68833    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 W  | 250,000,000  | 2020/05/04 | 2020/11/27 | 62.50          |
| 69125    | Credit Suisse AG - CSPC Pharma R Bull CBBC Feb 2021 A   | 100,000,000  | 2020/05/04 | 2021/02/25 | 25.00          |
| 69132    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 P           | 200,000,000  | 2020/05/04 | 2023/01/30 | 50.00          |
| 69136    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 Q           | 200,000,000  | 2020/05/04 | 2023/01/30 | 50.00          |
| 69131    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 P           | 200,000,000  | 2020/05/04 | 2023/02/27 | 50.00          |
| 69134    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 Q           | 200,000,000  | 2020/05/04 | 2023/02/27 | 50.00          |
| 69120    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 B           | 200,000,000  | 2020/05/04 | 2020/10/29 | 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 69124    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 P               | 200,000,000  | 2020/05/04 | 2020/11/27 | 50.00          |
| 69121    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 R               | 200,000,000  | 2020/05/04 | 2020/12/30 | 50.00          |
| 69145    | Goldman Sachs SP (Asia) - China Life R Bull CBBC Feb 2021 B | 80,000,000   | 2020/05/04 | 2021/02/26 | 20.00          |
| 69159    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 L        | 160,000,000  | 2020/05/04 | 2023/04/27 | 40.00          |
| 69161    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 M        | 160,000,000  | 2020/05/04 | 2023/04/27 | 40.00          |
| 69143    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 T        | 160,000,000  | 2020/05/04 | 2020/10/29 | 40.00          |
| 69154    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 W        | 160,000,000  | 2020/05/04 | 2020/11/27 | 40.00          |
| 69152    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Feb 2021 A    | 60,000,000   | 2020/05/04 | 2021/02/26 | 15.00          |
| 69144    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 K    | 60,000,000   | 2020/05/04 | 2020/10/30 | 15.00          |
| 68846    | HK Bank - Bank of China R Bear CBBC Sep 2020 A              | 40,000,000   | 2020/05/04 | 2020/09/14 | 10.00          |
| 68859    | HK Bank - Bud Apac R Bull CBBC Nov 2020 D                   | 40,000,000   | 2020/05/04 | 2020/11/02 | 10.00          |
| 68845    | HK Bank - CC Bank R Bull CBBC Oct 2020 A                    | 60,000,000   | 2020/05/04 | 2020/10/12 | 15.00          |
| 68839    | HK Bank - HSI R Bull CBBC Sep 2022 N                        | 100,000,000  | 2020/05/04 | 2022/09/29 | 25.00          |
| 68837    | HK Bank - HSI R Bull CBBC Dec 2022 F                        | 80,000,000   | 2020/05/04 | 2022/12/29 | 20.00          |
| 68838    | HK Bank - HSI R Bear CBBC Sep 2020 D                        | 60,000,000   | 2020/05/04 | 2020/09/29 | 15.00          |
| 68857    | HK Bank - SUNAC R Bear CBBC Sep 2020 C                      | 40,000,000   | 2020/05/04 | 2020/09/07 | 10.00          |
| 68849    | HK Bank - WuXi Bio R Bull CBBC Sep 2020 D                   | 40,000,000   | 2020/05/04 | 2020/09/14 | 10.00          |
| 68963    | Haitong Int'l Sec - Galaxy Ent R Bull CBBC Nov 2020 A       | 40,000,000   | 2020/05/04 | 2020/11/17 | 10.00          |
| 68947    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 W              | 150,000,000  | 2020/05/04 | 2023/01/30 | 37.50          |
| 68946    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 F              | 150,000,000  | 2020/05/04 | 2023/03/30 | 37.50          |
| 68950    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 U              | 150,000,000  | 2020/05/04 | 2020/10/29 | 37.50          |
| 68931    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 P              | 300,000,000  | 2020/05/04 | 2020/12/30 | 75.00          |
| 68962    | Haitong Int'l Sec - SHK Ppt R Bull CBBC Feb 2021 A          | 40,000,000   | 2020/05/04 | 2021/02/25 | 10.00          |
| 68982    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 U               | 200,000,000  | 2020/05/04 | 2023/02/27 | 50.00          |
| 69007    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 V               | 200,000,000  | 2020/05/04 | 2023/02/27 | 50.00          |
| 68973    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 N               | 200,000,000  | 2020/05/04 | 2023/03/30 | 50.00          |
| 68988    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 O               | 200,000,000  | 2020/05/04 | 2023/03/30 | 50.00          |
| 68965    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 C               | 200,000,000  | 2020/05/04 | 2020/11/27 | 50.00          |
| 68995    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 M               | 240,000,000  | 2020/05/04 | 2020/11/27 | 60.00          |
| 68968    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 G               | 240,000,000  | 2020/05/04 | 2020/12/30 | 60.00          |
| 68997    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 T               | 200,000,000  | 2020/05/04 | 2020/12/30 | 50.00          |
| 69014    | Morgan Stanley Asia Products - HSI R Bull CBBC Sep 2022 Z   | 150,000,000  | 2020/05/04 | 2022/09/29 | 37.50          |
| 69015    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 C   | 150,000,000  | 2020/05/04 | 2023/02/27 | 37.50          |
| 69011    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 P   | 150,000,000  | 2020/05/04 | 2020/09/29 | 37.50          |
| 69111    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 T            | 60,000,000   | 2020/05/04 | 2020/09/30 | 15.00          |
| 69035    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 C            | 60,000,000   | 2020/05/04 | 2020/11/30 | 15.00          |
| 69061    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 E            | 60,000,000   | 2020/05/04 | 2021/01/29 | 15.00          |
| 69063    | SG Issuer - Bank of China R Bull CBBC Aug 2021 A            | 100,000,000  | 2020/05/04 | 2021/08/05 | 25.00          |
| 69062    | SG Issuer - Bank of China R Bear CBBC Feb 2021 A            | 100,000,000  | 2020/05/04 | 2021/02/25 | 25.00          |
| 69037    | SG Issuer - Galaxy Ent R Bear CBBC Dec 2020 F               | 100,000,000  | 2020/05/04 | 2020/12/30 | 25.00          |
| 69100    | SG Issuer - HSI R Bull CBBC Nov 2022 Q                      | 250,000,000  | 2020/05/04 | 2022/11/29 | 62.50          |
| 69105    | SG Issuer - HSI R Bull CBBC Nov 2022 R                      | 250,000,000  | 2020/05/04 | 2022/11/29 | 62.50          |
| 69099    | SG Issuer - HSI R Bull CBBC Nov 2022 W                      | 250,000,000  | 2020/05/04 | 2022/11/29 | 62.50          |
| 69106    | SG Issuer - HSI R Bull CBBC Apr 2023 O                      | 250,000,000  | 2020/05/04 | 2023/04/27 | 62.50          |
| 69109    | SG Issuer - HSI R Bull CBBC Apr 2023 P                      | 250,000,000  | 2020/05/04 | 2023/04/27 | 62.50          |

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| 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 69053    | SG Issuer - HSI R Bear CBBC Aug 2020 F                  | 250,000,000  | 2020/05/04 | 2020/08/28 | 62.50          |
| 69060    | SG Issuer - HSI R Bear CBBC Oct 2020 A                  | 500,000,000  | 2020/05/04 | 2020/10/29 | 125.00         |
| 69091    | SG Issuer - HSI R Bear CBBC Dec 2020 Q                  | 250,000,000  | 2020/05/04 | 2020/12/30 | 62.50          |
| 69095    | SG Issuer - HSI R Bear CBBC Jan 2021 H                  | 250,000,000  | 2020/05/04 | 2021/01/28 | 62.50          |
| 69097    | SG Issuer - HSI R Bear CBBC Jan 2021 I                  | 250,000,000  | 2020/05/04 | 2021/01/28 | 62.50          |
| 69098    | SG Issuer - HSI R Bear CBBC Jan 2021 J                  | 250,000,000  | 2020/05/04 | 2021/01/28 | 62.50          |
| 69068    | SG Issuer - ICBC R Bear CBBC Dec 2020 A                 | 100,000,000  | 2020/05/04 | 2020/12/30 | 25.00          |
| 69039    | SG Issuer - Link REIT R Bear CBBC Dec 2020 B            | 60,000,000   | 2020/05/04 | 2020/12/31 | 15.00          |
| 69042    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 S     | 100,000,000  | 2020/05/04 | 2020/12/31 | 25.00          |
| 69070    | SG Issuer - Ping An R Bull CBBC Jan 2021 F              | 100,000,000  | 2020/05/04 | 2021/01/28 | 25.00          |
| 69043    | SG Issuer - SUNAC R Bull CBBC Feb 2021 B                | 80,000,000   | 2020/05/04 | 2021/02/25 | 20.00          |
| 69081    | SG Issuer - Tencent R Bull CBBC Aug 2020 M              | 80,000,000   | 2020/05/04 | 2020/08/28 | 20.00          |
| 69115    | SG Issuer - Tencent R Bull CBBC Sep 2020 C              | 80,000,000   | 2020/05/04 | 2020/09/30 | 20.00          |
| 69090    | SG Issuer - Tencent R Bear CBBC Jan 2021 B              | 80,000,000   | 2020/05/04 | 2021/01/29 | 20.00          |
| 69049    | SG Issuer - Tencent R Bear CBBC Feb 2021 K              | 80,000,000   | 2020/05/04 | 2021/02/25 | 20.00          |
| 68872    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 W           | 80,000,000   | 2020/05/04 | 2020/12/17 | 20.00          |
| 68876    | UBS AG - Geely Auto R Bear CBBC Dec 2020 C              | 40,000,000   | 2020/05/04 | 2020/12/21 | 10.00          |
| 68923    | UBS AG - Geely Auto R Bear CBBC Mar 2021 A              | 150,000,000  | 2020/05/04 | 2021/03/31 | 37.50          |
| 68877    | UBS AG - Galaxy Ent R Bear CBBC Dec 2020 G              | 50,000,000   | 2020/05/04 | 2020/12/08 | 12.50          |
| 68878    | UBS AG - HSCEI R Bear CBBC Sep 2020 C                   | 200,000,000  | 2020/05/04 | 2020/09/29 | 50.00          |
| 68868    | UBS AG - HSI R Bull CBBC Oct 2022 D                     | 200,000,000  | 2020/05/04 | 2022/10/28 | 50.00          |
| 68867    | UBS AG - HSI R Bull CBBC Oct 2022 N                     | 200,000,000  | 2020/05/04 | 2022/10/28 | 50.00          |
| 68913    | UBS AG - HSI R Bull CBBC Feb 2023 V                     | 200,000,000  | 2020/05/04 | 2023/02/27 | 50.00          |
| 68914    | UBS AG - HSI R Bull CBBC Feb 2023 W                     | 200,000,000  | 2020/05/04 | 2023/02/27 | 50.00          |
| 68916    | UBS AG - HSI R Bull CBBC Feb 2023 X                     | 200,000,000  | 2020/05/04 | 2023/02/27 | 50.00          |
| 68866    | UBS AG - HSI R Bear CBBC Sep 2020 R                     | 200,000,000  | 2020/05/04 | 2020/09/29 | 50.00          |
| 68888    | UBS AG - HSI R Bear CBBC Nov 2020 W                     | 200,000,000  | 2020/05/04 | 2020/11/27 | 50.00          |
| 68898    | UBS AG - HSI R Bear CBBC Nov 2020 X                     | 200,000,000  | 2020/05/04 | 2020/11/27 | 50.00          |
| 68905    | UBS AG - HSI R Bear CBBC Nov 2020 Y                     | 200,000,000  | 2020/05/04 | 2020/11/27 | 50.00          |
| 68911    | UBS AG - HSI R Bear CBBC Nov 2020 Z                     | 200,000,000  | 2020/05/04 | 2020/11/27 | 50.00          |
| 68871    | UBS AG - Tencent R Bull CBBC Nov 2020 S                 | 40,000,000   | 2020/05/04 | 2020/11/25 | 10.00          |
| 69021    | Bank Vontobel - Alibaba Group R Bull CBBC Dec 2020 E    | 40,000,000   | 2020/05/04 | 2020/12/11 | 10.00          |
| 69016    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 T | 60,000,000   | 2020/05/04 | 2020/12/18 | 15.00          |
| 69023    | Bank Vontobel - Tencent R Bull CBBC Dec 2020 Z          | 40,000,000   | 2020/05/04 | 2020/12/18 | 10.00          |
| 69017    | Bank Vontobel - Xiaomi R Bull CBBC Dec 2020 R           | 40,000,000   | 2020/05/04 | 2020/12/11 | 10.00          |
| 69322    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 A  | 250,000,000  | 2020/05/05 | 2020/11/27 | 62.50          |
| 69324    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 B  | 250,000,000  | 2020/05/05 | 2020/11/27 | 62.50          |
| 69329    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 C  | 250,000,000  | 2020/05/05 | 2020/11/27 | 62.50          |
| 69314    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 X  | 250,000,000  | 2020/05/05 | 2020/11/27 | 62.50          |
| 69315    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 Y  | 250,000,000  | 2020/05/05 | 2020/11/27 | 62.50          |
| 69320    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 Z  | 250,000,000  | 2020/05/05 | 2020/11/27 | 62.50          |
| 69413    | Credit Suisse AG - Alibaba Group R Bear CBBC Sep 2020 B | 80,000,000   | 2020/05/05 | 2020/09/29 | 20.00          |
| 69393    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 F           | 200,000,000  | 2020/05/05 | 2022/10/28 | 50.00          |
| 69399    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 H           | 200,000,000  | 2020/05/05 | 2022/10/28 | 50.00          |
| 69407    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 R           | 200,000,000  | 2020/05/05 | 2023/02/27 | 50.00          |

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| 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) |
|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 69417    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 K             | 200,000,000  | 2020/05/05 | 2020/10/29 | 50.00          |
| 69419    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 L             | 200,000,000  | 2020/05/05 | 2020/10/29 | 50.00          |
| 69421    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 M             | 200,000,000  | 2020/05/05 | 2020/10/29 | 50.00          |
| 69571    | Goldman Sachs SP (Asia) - AAC Tech R Bull CBBC Feb 2021 A | 40,000,000   | 2020/05/05 | 2021/02/26 | 10.00          |
| 69561    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 R  | 60,000,000   | 2020/05/05 | 2020/10/30 | 15.00          |
| 69609    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 S      | 160,000,000  | 2020/05/05 | 2022/11/29 | 40.00          |
| 69603    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 F      | 160,000,000  | 2020/05/05 | 2023/02/27 | 40.00          |
| 69596    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 J      | 160,000,000  | 2020/05/05 | 2023/03/30 | 40.00          |
| 69549    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 Q      | 160,000,000  | 2020/05/05 | 2023/03/30 | 40.00          |
| 69597    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 V      | 160,000,000  | 2020/05/05 | 2023/03/30 | 40.00          |
| 69583    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 W      | 160,000,000  | 2020/05/05 | 2020/10/29 | 40.00          |
| 69585    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 X      | 160,000,000  | 2020/05/05 | 2020/11/27 | 40.00          |
| 69587    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 Y      | 160,000,000  | 2020/05/05 | 2020/11/27 | 40.00          |
| 69589    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 Z      | 160,000,000  | 2020/05/05 | 2020/11/27 | 40.00          |
| 69582    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 Y      | 160,000,000  | 2020/05/05 | 2020/12/30 | 40.00          |
| 69550    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 L  | 60,000,000   | 2020/05/05 | 2020/10/30 | 15.00          |
| 69577    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Feb 2021 J  | 60,000,000   | 2020/05/05 | 2021/02/19 | 15.00          |
| 69226    | HK Bank - AAC Tech R Bear CBBC Oct 2020 A                 | 40,000,000   | 2020/05/05 | 2020/10/05 | 10.00          |
| 69232    | HK Bank - CC Bank R Bull CBBC Nov 2020 A                  | 60,000,000   | 2020/05/05 | 2020/11/02 | 15.00          |
| 69200    | HK Bank - China Life R Bear CBBC Oct 2020 A               | 60,000,000   | 2020/05/05 | 2020/10/12 | 15.00          |
| 69212    | HK Bank - HSI R Bull CBBC Sep 2022 Z                      | 60,000,000   | 2020/05/05 | 2022/09/29 | 15.00          |
| 69215    | HK Bank - HSI R Bull CBBC Dec 2022 K                      | 60,000,000   | 2020/05/05 | 2022/12/29 | 16.80          |
| 69222    | HK Bank - HSI R Bear CBBC Sep 2020 E                      | 100,000,000  | 2020/05/05 | 2020/09/29 | 25.00          |
| 69177    | HK Bank - Meituan Dianping R Bear CBBC Oct 2020 B         | 40,000,000   | 2020/05/05 | 2020/10/19 | 10.00          |
| 69162    | HK Bank - Tencent R Bull CBBC Oct 2020 F                  | 40,000,000   | 2020/05/05 | 2020/10/12 | 10.00          |
| 69454    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Nov 2020 F  | 40,000,000   | 2020/05/05 | 2020/11/17 | 10.00          |
| 69451    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 X            | 200,000,000  | 2020/05/05 | 2023/01/30 | 50.00          |
| 69468    | Haitong Int'l Sec - HSI R Bull CBBC Feb 2023 Z            | 150,000,000  | 2020/05/05 | 2023/02/27 | 37.50          |
| 69458    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 Q            | 150,000,000  | 2020/05/05 | 2020/09/29 | 37.50          |
| 69455    | Haitong Int'l Sec - Tencent R Bull CBBC Nov 2020 M        | 40,000,000   | 2020/05/05 | 2020/11/17 | 10.00          |
| 69358    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 Z             | 200,000,000  | 2020/05/05 | 2022/10/28 | 50.00          |
| 69379    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 B             | 240,000,000  | 2020/05/05 | 2022/12/29 | 60.00          |
| 69333    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 E             | 200,000,000  | 2020/05/05 | 2023/02/27 | 50.00          |
| 69392    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 I             | 200,000,000  | 2020/05/05 | 2023/02/27 | 50.00          |
| 69390    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 P             | 200,000,000  | 2020/05/05 | 2023/03/30 | 50.00          |
| 69344    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 F             | 200,000,000  | 2020/05/05 | 2020/11/27 | 50.00          |
| 69357    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 N             | 200,000,000  | 2020/05/05 | 2020/11/27 | 50.00          |
| 69354    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 A             | 200,000,000  | 2020/05/05 | 2020/12/30 | 50.00          |
| 69470    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 U          | 60,000,000   | 2020/05/05 | 2020/09/30 | 15.00          |
| 69534    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 V          | 60,000,000   | 2020/05/05 | 2020/09/29 | 15.00          |
| 69500    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 D          | 60,000,000   | 2020/05/05 | 2020/11/30 | 15.00          |
| 69535    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 V          | 60,000,000   | 2020/05/05 | 2020/12/30 | 15.00          |
| 69531    | SG Issuer - HSI R Bull CBBC Apr 2023 Q                    | 250,000,000  | 2020/05/05 | 2023/04/27 | 62.50          |
| 69533    | SG Issuer - HSI R Bull CBBC Apr 2023 R                    | 250,000,000  | 2020/05/05 | 2023/04/27 | 62.50          |
| 69497    | SG Issuer - HSI R Bull CBBC May 2023 C                    | 250,000,000  | 2020/05/05 | 2023/05/30 | 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) |
|----------|--------------------------------------------------------|--------------|------------|------------|----------------|
| 69498    | SG Issuer - HSI R Bull CBBC May 2023 D                 | 250,000,000  | 2020/05/05 | 2023/05/30 | 62.50          |
| 69507    | SG Issuer - HSI R Bull CBBC May 2023 E                 | 250,000,000  | 2020/05/05 | 2023/05/30 | 62.50          |
| 69511    | SG Issuer - HSI R Bear CBBC Nov 2020 V                 | 250,000,000  | 2020/05/05 | 2020/11/27 | 62.50          |
| 69517    | SG Issuer - HSI R Bear CBBC Nov 2020 W                 | 250,000,000  | 2020/05/05 | 2020/11/27 | 62.50          |
| 69509    | SG Issuer - HSI R Bear CBBC Dec 2020 R                 | 250,000,000  | 2020/05/05 | 2020/12/30 | 62.50          |
| 69519    | SG Issuer - HSI R Bear CBBC Jan 2021 K                 | 250,000,000  | 2020/05/05 | 2021/01/28 | 62.50          |
| 69521    | SG Issuer - HSI R Bear CBBC Jan 2021 L                 | 250,000,000  | 2020/05/05 | 2021/01/28 | 62.50          |
| 69525    | SG Issuer - HSI R Bear CBBC Jan 2021 M                 | 250,000,000  | 2020/05/05 | 2021/01/28 | 62.50          |
| 69526    | SG Issuer - HSI R Bear CBBC Feb 2021 P                 | 500,000,000  | 2020/05/05 | 2021/02/25 | 125.00         |
| 69542    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 F    | 100,000,000  | 2020/05/05 | 2020/12/29 | 25.00          |
| 69504    | SG Issuer - Ping An R Bull CBBC Nov 2020 E             | 100,000,000  | 2020/05/05 | 2020/11/30 | 25.00          |
| 69482    | SG Issuer - Tencent R Bull CBBC Sep 2020 D             | 80,000,000   | 2020/05/05 | 2020/09/30 | 20.00          |
| 69490    | SG Issuer - Tencent R Bull CBBC Nov 2020 D             | 80,000,000   | 2020/05/05 | 2020/11/30 | 20.00          |
| 69505    | SG Issuer - Tencent R Bull CBBC Nov 2020 E             | 80,000,000   | 2020/05/05 | 2020/11/30 | 20.00          |
| 69544    | SG Issuer - Tencent R Bear CBBC Feb 2021 L             | 80,000,000   | 2020/05/05 | 2021/02/25 | 20.00          |
| 69256    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 D          | 400,000,000  | 2020/05/05 | 2021/02/26 | 100.00         |
| 69267    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 E          | 400,000,000  | 2020/05/05 | 2021/02/26 | 100.00         |
| 69306    | UBS AG - China Life R Bull CBBC Mar 2021 A             | 150,000,000  | 2020/05/05 | 2021/03/31 | 37.50          |
| 69305    | UBS AG - China Life R Bull CBBC Jun 2021 A             | 150,000,000  | 2020/05/05 | 2021/06/30 | 37.50          |
| 69301    | UBS AG - China Life R Bear CBBC Mar 2021 A             | 150,000,000  | 2020/05/05 | 2021/03/31 | 37.50          |
| 69298    | UBS AG - Galaxy Ent R Bull CBBC Dec 2020 J             | 60,000,000   | 2020/05/05 | 2020/12/08 | 15.00          |
| 69295    | UBS AG - Galaxy Ent R Bear CBBC Dec 2020 H             | 60,000,000   | 2020/05/05 | 2020/12/31 | 15.00          |
| 69236    | UBS AG - HSI R Bull CBBC Sep 2022 P                    | 200,000,000  | 2020/05/05 | 2022/09/29 | 50.00          |
| 69253    | UBS AG - HSI R Bull CBBC Sep 2022 Q                    | 200,000,000  | 2020/05/05 | 2022/09/29 | 50.00          |
| 69277    | UBS AG - HSI R Bull CBBC Dec 2022 I                    | 200,000,000  | 2020/05/05 | 2022/12/29 | 50.00          |
| 69268    | UBS AG - HSI R Bull CBBC Dec 2022 Q                    | 200,000,000  | 2020/05/05 | 2022/12/29 | 50.00          |
| 69291    | UBS AG - HSI R Bear CBBC Jan 2021 A                    | 400,000,000  | 2020/05/05 | 2021/01/28 | 100.00         |
| 69294    | UBS AG - HSI R Bear CBBC Jan 2021 B                    | 200,000,000  | 2020/05/05 | 2021/01/28 | 50.00          |
| 69280    | UBS AG - HSI R Bear CBBC Jan 2021 X                    | 200,000,000  | 2020/05/05 | 2021/01/28 | 50.00          |
| 69285    | UBS AG - HSI R Bear CBBC Jan 2021 Y                    | 200,000,000  | 2020/05/05 | 2021/01/28 | 50.00          |
| 69288    | UBS AG - HSI R Bear CBBC Jan 2021 Z                    | 200,000,000  | 2020/05/05 | 2021/01/28 | 50.00          |
| 69265    | UBS AG - Tencent R Bull CBBC Nov 2020 T                | 200,000,000  | 2020/05/05 | 2020/11/26 | 50.00          |
| 69262    | UBS AG - Tencent R Bear CBBC Sep 2020 E                | 40,000,000   | 2020/05/05 | 2020/09/29 | 10.00          |
| 69450    | Bank Vontobel - AAC Tech R Bull CBBC Dec 2020 E        | 40,000,000   | 2020/05/05 | 2020/12/18 | 10.00          |
| 69445    | Bank Vontobel - SHK Ppt R Bear CBBC Dec 2020 D         | 40,000,000   | 2020/05/05 | 2020/12/18 | 10.00          |
| 69443    | Bank Vontobel - SUNAC R Bear CBBC Dec 2020 D           | 40,000,000   | 2020/05/05 | 2020/12/18 | 10.00          |
| 69429    | Bank Vontobel - Tencent R Bull CBBC Nov 2020 Q         | 40,000,000   | 2020/05/05 | 2020/11/20 | 10.00          |
| 69681    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 M | 250,000,000  | 2020/05/06 | 2022/11/29 | 62.50          |
| 69687    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 N | 250,000,000  | 2020/05/06 | 2022/11/29 | 62.50          |
| 69690    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 O | 250,000,000  | 2020/05/06 | 2022/11/29 | 62.50          |
| 69697    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 P | 250,000,000  | 2020/05/06 | 2022/11/29 | 62.50          |
| 69704    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 Q | 140,000,000  | 2020/05/06 | 2022/11/29 | 35.00          |
| 69613    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 X | 240,000,000  | 2020/05/06 | 2020/10/29 | 60.00          |
| 69614    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 Y | 240,000,000  | 2020/05/06 | 2020/10/29 | 60.00          |
| 69611    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 Z | 250,000,000  | 2020/05/06 | 2020/10/29 | 62.50          |

# 主板 可收回牛熊證

| 股份代號  | 牛熊證                                                      | 上市時之發行單位    | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|-------|----------------------------------------------------------|-------------|------------|------------|----------------|
| 69699 | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 P   | 250,000,000 | 2020/05/06 | 2020/12/30 | 62.50          |
| 60095 | Credit Suisse AG - HSI R Bull CBBC Oct 2022 S            | 200,000,000 | 2020/05/06 | 2022/10/28 | 50.00          |
| 69997 | Credit Suisse AG - HSI R Bull CBBC Jan 2023 R            | 200,000,000 | 2020/05/06 | 2023/01/30 | 50.00          |
| 69999 | Credit Suisse AG - HSI R Bull CBBC Jan 2023 S            | 200,000,000 | 2020/05/06 | 2023/01/30 | 50.00          |
| 60057 | Credit Suisse AG - HSI R Bull CBBC Jan 2023 T            | 200,000,000 | 2020/05/06 | 2023/01/30 | 50.00          |
| 69955 | Credit Suisse AG - HSI R Bear CBBC Oct 2020 N            | 200,000,000 | 2020/05/06 | 2020/10/29 | 50.00          |
| 69984 | Credit Suisse AG - HSI R Bear CBBC Oct 2020 O            | 200,000,000 | 2020/05/06 | 2020/10/29 | 50.00          |
| 69949 | Credit Suisse AG - HSI R Bear CBBC Nov 2020 R            | 200,000,000 | 2020/05/06 | 2020/11/27 | 50.00          |
| 69975 | Credit Suisse AG - HSI R Bear CBBC Dec 2020 S            | 300,000,000 | 2020/05/06 | 2020/12/30 | 75.00          |
| 69989 | Credit Suisse AG - Tencent R Bull CBBC Sep 2020 M        | 50,000,000  | 2020/05/06 | 2020/09/29 | 12.50          |
| 60889 | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 S | 60,000,000  | 2020/05/06 | 2020/10/30 | 15.00          |
| 60946 | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 H     | 160,000,000 | 2020/05/06 | 2023/02/27 | 40.00          |
| 61019 | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 Z     | 160,000,000 | 2020/05/06 | 2023/02/27 | 40.00          |
| 61000 | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 N     | 160,000,000 | 2020/05/06 | 2023/04/27 | 40.00          |
| 61138 | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 O     | 160,000,000 | 2020/05/06 | 2023/04/27 | 40.00          |
| 61149 | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 P     | 160,000,000 | 2020/05/06 | 2023/04/27 | 40.00          |
| 61240 | Goldman Sachs SP (Asia) - HSI R Bear CBBC Sep 2020 T     | 160,000,000 | 2020/05/06 | 2020/09/29 | 40.00          |
| 60526 | Goldman Sachs SP (Asia) - HSI R Bear CBBC Sep 2020 V     | 160,000,000 | 2020/05/06 | 2020/09/29 | 40.00          |
| 61199 | Goldman Sachs SP (Asia) - HSI R Bear CBBC Sep 2020 Z     | 160,000,000 | 2020/05/06 | 2020/09/29 | 40.00          |
| 60590 | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 B     | 160,000,000 | 2020/05/06 | 2020/11/27 | 40.00          |
| 60865 | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 D     | 160,000,000 | 2020/05/06 | 2020/11/27 | 40.00          |
| 61170 | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 E     | 160,000,000 | 2020/05/06 | 2020/11/27 | 40.00          |
| 60523 | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 H     | 160,000,000 | 2020/05/06 | 2020/11/27 | 40.00          |
| 61213 | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 L     | 160,000,000 | 2020/05/06 | 2020/11/27 | 40.00          |
| 60867 | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 M | 60,000,000  | 2020/05/06 | 2020/10/30 | 15.00          |
| 60925 | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Feb 2021 K | 60,000,000  | 2020/05/06 | 2021/02/19 | 15.00          |
| 69638 | HK Bank - China Res Land R Bull CBBC Dec 2020 A          | 60,000,000  | 2020/05/06 | 2020/12/07 | 15.00          |
| 69641 | HK Bank - CSPC Pharma R Bear CBBC Oct 2020 A             | 80,000,000  | 2020/05/06 | 2020/10/19 | 20.00          |
| 69646 | HK Bank - HKEX R Bull CBBC Oct 2020 F                    | 40,000,000  | 2020/05/06 | 2020/10/15 | 10.00          |
| 69647 | HK Bank - HSI R Bull CBBC Sep 2022 A                     | 60,000,000  | 2020/05/06 | 2022/09/29 | 15.00          |
| 69648 | HK Bank - HSI R Bull CBBC Sep 2022 L                     | 80,000,000  | 2020/05/06 | 2022/09/29 | 20.00          |
| 69655 | HK Bank - HSI R Bull CBBC Dec 2022 L                     | 100,000,000 | 2020/05/06 | 2022/12/29 | 25.00          |
| 69625 | HK Bank - HSI R Bear CBBC Sep 2020 F                     | 100,000,000 | 2020/05/06 | 2020/09/29 | 25.00          |
| 69640 | HK Bank - SHK Ppt R Bear CBBC Oct 2020 A                 | 40,000,000  | 2020/05/06 | 2020/10/05 | 10.00          |
| 69644 | HK Bank - Sunny Optical R Bull CBBC Oct 2020 B           | 40,000,000  | 2020/05/06 | 2020/10/19 | 10.00          |
| 60337 | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 N           | 150,000,000 | 2020/05/06 | 2022/12/29 | 37.50          |
| 60199 | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 A           | 150,000,000 | 2020/05/06 | 2023/04/27 | 37.50          |
| 60356 | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 R           | 150,000,000 | 2020/05/06 | 2020/09/29 | 37.50          |
| 60152 | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 V           | 150,000,000 | 2020/05/06 | 2020/10/29 | 37.50          |
| 60162 | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 W           | 200,000,000 | 2020/05/06 | 2020/10/29 | 50.00          |
| 60211 | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 N       | 40,000,000  | 2020/05/06 | 2020/11/17 | 10.00          |
| 60164 | Haitong Int'l Sec - Tencent R Bear CBBC Dec 2020 E       | 40,000,000  | 2020/05/06 | 2020/12/22 | 10.00          |
| 69719 | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 S            | 200,000,000 | 2020/05/06 | 2023/02/27 | 50.00          |
| 69720 | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 X            | 200,000,000 | 2020/05/06 | 2023/02/27 | 50.00          |
| 69717 | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 Q            | 200,000,000 | 2020/05/06 | 2023/03/30 | 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 69707    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 G                | 200,000,000  | 2020/05/06 | 2020/11/27 | 50.00          |
| 69721    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 R                | 200,000,000  | 2020/05/06 | 2020/11/27 | 50.00          |
| 69708    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 D                | 200,000,000  | 2020/05/06 | 2020/12/30 | 50.00          |
| 60129    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 I    | 150,000,000  | 2020/05/06 | 2023/01/30 | 37.50          |
| 69615    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 Q    | 150,000,000  | 2020/05/06 | 2020/09/29 | 37.50          |
| 69671    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 M    | 150,000,000  | 2020/05/06 | 2020/10/29 | 37.50          |
| 69667    | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 D    | 150,000,000  | 2020/05/06 | 2020/12/30 | 37.50          |
| 69619    | Morgan Stanley Asia Products - Tencent R Bull CBBC Nov2020 B | 40,000,000   | 2020/05/06 | 2020/11/02 | 10.00          |
| 69621    | Morgan Stanley Asia Products - Tencent R Bear CBBC Oct2020 A | 40,000,000   | 2020/05/06 | 2020/10/15 | 10.00          |
| 69753    | SG Issuer - AAC Tech R Bear CBBC Nov 2020 C                  | 100,000,000  | 2020/05/06 | 2020/11/27 | 25.00          |
| 69837    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 E             | 60,000,000   | 2020/05/06 | 2020/11/30 | 15.00          |
| 69758    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 W             | 60,000,000   | 2020/05/06 | 2020/12/30 | 15.00          |
| 69815    | SG Issuer - Bud Apac R Bull CBBC Jun 2021 A                  | 80,000,000   | 2020/05/06 | 2021/06/30 | 20.00          |
| 69806    | SG Issuer - Bud Apac R Bear CBBC Mar 2021 A                  | 80,000,000   | 2020/05/06 | 2021/03/30 | 20.00          |
| 69838    | SG Issuer - China Mobile R Bull CBBC Nov 2020 E              | 100,000,000  | 2020/05/06 | 2020/11/30 | 25.00          |
| 69772    | SG Issuer - CC Bank R Bull CBBC Aug 2021 C                   | 100,000,000  | 2020/05/06 | 2021/08/09 | 25.00          |
| 69821    | SG Issuer - CSPC Pharma R Bull CBBC Jun 2021 A               | 150,000,000  | 2020/05/06 | 2021/06/30 | 37.50          |
| 69819    | SG Issuer - CSPC Pharma R Bear CBBC Apr 2021 A               | 150,000,000  | 2020/05/06 | 2021/04/30 | 37.50          |
| 69840    | SG Issuer - HSBC R Bull CBBC Mar 2021 J                      | 100,000,000  | 2020/05/06 | 2021/03/30 | 25.00          |
| 69862    | SG Issuer - HSI R Bull CBBC Sep 2022 S                       | 500,000,000  | 2020/05/06 | 2022/09/29 | 125.00         |
| 69876    | SG Issuer - HSI R Bull CBBC Apr 2023 S                       | 250,000,000  | 2020/05/06 | 2023/04/27 | 62.50          |
| 69878    | SG Issuer - HSI R Bull CBBC May 2023 F                       | 250,000,000  | 2020/05/06 | 2023/05/30 | 62.50          |
| 69879    | SG Issuer - HSI R Bull CBBC May 2023 G                       | 250,000,000  | 2020/05/06 | 2023/05/30 | 62.50          |
| 69881    | SG Issuer - HSI R Bull CBBC May 2023 H                       | 250,000,000  | 2020/05/06 | 2023/05/30 | 62.50          |
| 69797    | SG Issuer - HSI R Bear CBBC Aug 2020 G                       | 250,000,000  | 2020/05/06 | 2020/08/28 | 62.50          |
| 69801    | SG Issuer - HSI R Bear CBBC Sep 2020 B                       | 250,000,000  | 2020/05/06 | 2020/09/29 | 62.50          |
| 69846    | SG Issuer - HSI R Bear CBBC Oct 2020 D                       | 250,000,000  | 2020/05/06 | 2020/10/29 | 62.50          |
| 69848    | SG Issuer - HSI R Bear CBBC Oct 2020 G                       | 250,000,000  | 2020/05/06 | 2020/10/29 | 62.50          |
| 69804    | SG Issuer - HSI R Bear CBBC Nov 2020 X                       | 250,000,000  | 2020/05/06 | 2020/11/27 | 62.50          |
| 69844    | SG Issuer - HSI R Bear CBBC Dec 2020 U                       | 250,000,000  | 2020/05/06 | 2020/12/30 | 62.50          |
| 69854    | SG Issuer - HSI R Bear CBBC Dec 2020 V                       | 250,000,000  | 2020/05/06 | 2020/12/30 | 62.50          |
| 69827    | SG Issuer - Sino Biopharm R Bull CBBC Mar 2021 A             | 40,000,000   | 2020/05/06 | 2021/03/30 | 12.20          |
| 69832    | SG Issuer - SHK Ppt R Bull CBBC Apr 2021 C                   | 100,000,000  | 2020/05/06 | 2021/04/30 | 25.00          |
| 69830    | SG Issuer - SHK Ppt R Bear CBBC Dec 2020 B                   | 100,000,000  | 2020/05/06 | 2020/12/30 | 25.00          |
| 69831    | SG Issuer - SHK Ppt R Bear CBBC Feb 2021 A                   | 100,000,000  | 2020/05/06 | 2021/02/25 | 26.00          |
| 69778    | SG Issuer - SUNAC R Bear CBBC Dec 2020 A                     | 80,000,000   | 2020/05/06 | 2020/12/31 | 20.00          |
| 69841    | SG Issuer - Tencent R Bull CBBC Aug 2020 N                   | 80,000,000   | 2020/05/06 | 2020/08/28 | 20.00          |
| 69786    | SG Issuer - Tencent R Bear CBBC Jan 2021 C                   | 80,000,000   | 2020/05/06 | 2021/01/29 | 20.00          |
| 69787    | SG Issuer - Tencent R Bear CBBC Feb 2021 M                   | 80,000,000   | 2020/05/06 | 2021/02/26 | 20.00          |
| 69842    | SG Issuer - Tencent R Bear CBBC Mar 2021 B                   | 80,000,000   | 2020/05/06 | 2021/03/30 | 20.00          |
| 69900    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 U                | 80,000,000   | 2020/05/06 | 2020/12/22 | 20.00          |
| 69903    | UBS AG - Alibaba Group R Bear CBBC Jan 2021 D                | 400,000,000  | 2020/05/06 | 2021/01/28 | 100.00         |
| 69937    | UBS AG - Geely Auto R Bull CBBC Dec 2020 F                   | 40,000,000   | 2020/05/06 | 2020/12/22 | 10.00          |
| 69940    | UBS AG - Geely Auto R Bull CBBC Oct 2021 A                   | 200,000,000  | 2020/05/06 | 2021/10/29 | 50.00          |
| 69942    | UBS AG - HKEX R Bull CBBC Dec 2020 P                         | 50,000,000   | 2020/05/06 | 2020/12/22 | 12.50          |



# 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) |
|----------|--------------------------------------------------------|--------------|------------|------------|----------------|
| 69944    | UBS AG - HKEX R Bull CBBC Dec 2020 Q                   | 200,000,000  | 2020/05/06 | 2020/12/23 | 50.00          |
| 69914    | UBS AG - HSI R Bull CBBC Apr 2023 E                    | 200,000,000  | 2020/05/06 | 2023/04/27 | 50.00          |
| 69916    | UBS AG - HSI R Bull CBBC Apr 2023 F                    | 200,000,000  | 2020/05/06 | 2023/04/27 | 50.00          |
| 69923    | UBS AG - HSI R Bull CBBC Apr 2023 G                    | 200,000,000  | 2020/05/06 | 2023/04/27 | 50.00          |
| 69924    | UBS AG - HSI R Bull CBBC Apr 2023 H                    | 200,000,000  | 2020/05/06 | 2023/04/27 | 50.00          |
| 69882    | UBS AG - HSI R Bear CBBC Sep 2020 Y                    | 200,000,000  | 2020/05/06 | 2020/09/29 | 50.00          |
| 69883    | UBS AG - HSI R Bear CBBC Oct 2020 N                    | 200,000,000  | 2020/05/06 | 2020/10/29 | 50.00          |
| 69928    | UBS AG - HSI R Bear CBBC Nov 2020 A                    | 200,000,000  | 2020/05/06 | 2020/11/27 | 50.00          |
| 69933    | UBS AG - HSI R Bear CBBC Nov 2020 D                    | 200,000,000  | 2020/05/06 | 2020/11/27 | 50.00          |
| 69927    | UBS AG - HSI R Bear CBBC Nov 2020 H                    | 200,000,000  | 2020/05/06 | 2020/11/27 | 50.00          |
| 69886    | UBS AG - HSI R Bear CBBC Jan 2021 E                    | 200,000,000  | 2020/05/06 | 2021/01/28 | 50.00          |
| 69945    | UBS AG - Link REIT R Bull CBBC Dec 2020 F              | 50,000,000   | 2020/05/06 | 2020/12/22 | 12.50          |
| 69946    | UBS AG - Link REIT R Bear CBBC Dec 2020 C              | 50,000,000   | 2020/05/06 | 2020/12/22 | 12.50          |
| 69905    | UBS AG - Meituan Dianping R Bull CBBC Dec 2020 X       | 50,000,000   | 2020/05/06 | 2020/12/28 | 12.50          |
| 69936    | UBS AG - Tencent R Bull CBBC Oct 2020 E                | 40,000,000   | 2020/05/06 | 2020/10/23 | 10.00          |
| 69935    | UBS AG - Tencent R Bear CBBC Dec 2020 J                | 40,000,000   | 2020/05/06 | 2020/12/30 | 10.00          |
| 69890    | UBS AG - Tencent R Bear CBBC Dec 2020 Q                | 40,000,000   | 2020/05/06 | 2020/12/14 | 10.00          |
| 69893    | UBS AG - Tencent R Bear CBBC Jan 2021 A                | 200,000,000  | 2020/05/06 | 2021/01/28 | 50.00          |
| 69750    | Bank Vontobel - Bud Apac R Bull CBBC Dec 2020 B        | 40,000,000   | 2020/05/06 | 2020/12/18 | 10.00          |
| 69727    | Bank Vontobel - China Life R Bull CBBC Mar 2021 C      | 40,000,000   | 2020/05/06 | 2021/03/12 | 10.00          |
| 69732    | Bank Vontobel - HSI R Bull CBBC Dec 2022 C             | 80,000,000   | 2020/05/06 | 2022/12/29 | 20.00          |
| 69733    | Bank Vontobel - HSI R Bull CBBC Dec 2022 D             | 80,000,000   | 2020/05/06 | 2022/12/29 | 20.00          |
| 69734    | Bank Vontobel - HSI R Bull CBBC Dec 2022 E             | 80,000,000   | 2020/05/06 | 2022/12/29 | 20.00          |
| 69735    | Bank Vontobel - HSI R Bear CBBC Dec 2020 E             | 80,000,000   | 2020/05/06 | 2020/12/30 | 20.00          |
| 69741    | Bank Vontobel - HSI R Bear CBBC Dec 2020 F             | 80,000,000   | 2020/05/06 | 2020/12/30 | 20.00          |
| 69742    | Bank Vontobel - Tencent R Bull CBBC Oct 2020 E         | 40,000,000   | 2020/05/06 | 2020/10/23 | 10.00          |
| 62690    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 E  | 60,000,000   | 2020/05/07 | 2020/12/31 | 15.00          |
| 62702    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 C  | 60,000,000   | 2020/05/07 | 2020/12/31 | 15.00          |
| 62722    | BOCI Asia Ltd. - China Mobile R Bull CBBC Oct 2020 J   | 40,000,000   | 2020/05/07 | 2020/10/30 | 10.00          |
| 62730    | BOCI Asia Ltd. - China Mobile R Bear CBBC Oct 2020 B   | 40,000,000   | 2020/05/07 | 2020/10/30 | 10.00          |
| 62584    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 N            | 150,000,000  | 2020/05/07 | 2022/12/29 | 37.50          |
| 62526    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 V            | 150,000,000  | 2020/05/07 | 2022/12/29 | 37.50          |
| 62572    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 W            | 150,000,000  | 2020/05/07 | 2022/12/29 | 37.50          |
| 62662    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 X            | 150,000,000  | 2020/05/07 | 2022/12/29 | 37.50          |
| 62796    | BOCI Asia Ltd. - HSI R Bull CBBC Dec 2022 Y            | 150,000,000  | 2020/05/07 | 2022/12/29 | 37.50          |
| 62744    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 T            | 150,000,000  | 2020/05/07 | 2020/10/29 | 37.50          |
| 62736    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 X            | 150,000,000  | 2020/05/07 | 2020/10/29 | 37.50          |
| 62803    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 Y            | 150,000,000  | 2020/05/07 | 2020/10/29 | 37.50          |
| 62680    | BOCI Asia Ltd. - Tencent R Bull CBBC Oct 2020 T        | 40,000,000   | 2020/05/07 | 2020/10/30 | 10.00          |
| 61934    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 H | 150,000,000  | 2020/05/07 | 2022/10/28 | 37.50          |
| 62027    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 I | 150,000,000  | 2020/05/07 | 2022/10/28 | 37.50          |
| 62812    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 J | 150,000,000  | 2020/05/07 | 2022/10/28 | 37.50          |
| 62829    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 K | 140,000,000  | 2020/05/07 | 2022/10/28 | 35.00          |
| 62102    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 A | 250,000,000  | 2020/05/07 | 2020/12/30 | 62.50          |
| 61710    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Q | 250,000,000  | 2020/05/07 | 2020/12/30 | 62.50          |

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| 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 61797    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 R     | 250,000,000  | 2020/05/07 | 2020/12/30 | 62.50          |
| 62855    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Y     | 240,000,000  | 2020/05/07 | 2020/12/30 | 60.00          |
| 61255    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 O | 50,000,000   | 2020/05/07 | 2020/11/27 | 12.50          |
| 61280    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 U | 50,000,000   | 2020/05/07 | 2020/12/30 | 12.50          |
| 64377    | Credit Suisse AG - AIA R Bull CBBC Sep 2020 G              | 70,000,000   | 2020/05/07 | 2020/09/29 | 17.50          |
| 64497    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 U              | 200,000,000  | 2020/05/07 | 2023/01/30 | 50.00          |
| 64475    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 S              | 200,000,000  | 2020/05/07 | 2023/02/27 | 50.00          |
| 64510    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 T              | 200,000,000  | 2020/05/07 | 2023/02/27 | 50.00          |
| 64556    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 U              | 200,000,000  | 2020/05/07 | 2023/02/27 | 50.00          |
| 64211    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 D              | 200,000,000  | 2020/05/07 | 2020/09/29 | 50.00          |
| 64265    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 E              | 200,000,000  | 2020/05/07 | 2020/09/29 | 50.00          |
| 64293    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 A              | 200,000,000  | 2020/05/07 | 2020/11/27 | 50.00          |
| 64283    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 S              | 200,000,000  | 2020/05/07 | 2020/11/27 | 50.00          |
| 64398    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 H          | 50,000,000   | 2020/05/07 | 2020/10/29 | 12.50          |
| 65899    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 I       | 160,000,000  | 2020/05/07 | 2023/02/27 | 40.00          |
| 65916    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 L       | 160,000,000  | 2020/05/07 | 2023/02/27 | 40.00          |
| 65903    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 Q       | 160,000,000  | 2020/05/07 | 2023/04/27 | 40.00          |
| 65909    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 R       | 160,000,000  | 2020/05/07 | 2023/04/27 | 40.00          |
| 65838    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 B       | 160,000,000  | 2020/05/07 | 2020/08/28 | 40.00          |
| 65981    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Sep 2020 U       | 160,000,000  | 2020/05/07 | 2020/09/29 | 40.00          |
| 65841    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Oct 2020 I       | 160,000,000  | 2020/05/07 | 2020/10/29 | 40.00          |
| 65932    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 G       | 160,000,000  | 2020/05/07 | 2020/11/27 | 40.00          |
| 65953    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 I       | 160,000,000  | 2020/05/07 | 2020/11/27 | 40.00          |
| 65957    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 P       | 160,000,000  | 2020/05/07 | 2020/11/27 | 40.00          |
| 65999    | Goldman Sachs SP (Asia) - Ping An R Bull CBBC Feb 2021 B   | 80,000,000   | 2020/05/07 | 2021/02/01 | 20.00          |
| 65997    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 N   | 60,000,000   | 2020/05/07 | 2020/10/30 | 15.00          |
| 66000    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Feb 2021 L   | 60,000,000   | 2020/05/07 | 2021/02/19 | 24.24          |
| 62191    | HK Bank - Alibaba Group R Bull CBBC Sep 2020 L             | 40,000,000   | 2020/05/07 | 2020/09/14 | 10.00          |
| 62382    | HK Bank - China Mobile R Bull CBBC Nov 2020 C              | 60,000,000   | 2020/05/07 | 2020/11/16 | 15.00          |
| 62212    | HK Bank - CSPC Pharma R Bull CBBC Nov 2020 B               | 40,000,000   | 2020/05/07 | 2020/11/02 | 10.00          |
| 62383    | HK Bank - HKEX R Bull CBBC Nov 2020 C                      | 40,000,000   | 2020/05/07 | 2020/11/05 | 10.00          |
| 62273    | HK Bank - HSCEI R Bull CBBC Sep 2022 I                     | 50,000,000   | 2020/05/07 | 2022/09/29 | 12.50          |
| 62279    | HK Bank - HSCEI R Bear CBBC Sep 2020 B                     | 50,000,000   | 2020/05/07 | 2020/09/29 | 12.50          |
| 62195    | HK Bank - HSI R Bull CBBC Sep 2022 P                       | 60,000,000   | 2020/05/07 | 2022/09/29 | 15.00          |
| 62167    | HK Bank - HSI R Bull CBBC Dec 2022 I                       | 100,000,000  | 2020/05/07 | 2022/12/29 | 25.00          |
| 62146    | HK Bank - HSI R Bear CBBC Sep 2020 G                       | 100,000,000  | 2020/05/07 | 2020/09/29 | 25.00          |
| 62268    | HK Bank - HSI R Bear CBBC Sep 2020 H                       | 60,000,000   | 2020/05/07 | 2020/09/29 | 15.00          |
| 62155    | HK Bank - Tencent R Bull CBBC Sep 2020 J                   | 40,000,000   | 2020/05/07 | 2020/09/07 | 10.00          |
| 65610    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 X             | 150,000,000  | 2020/05/07 | 2022/11/29 | 37.50          |
| 65675    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 S             | 300,000,000  | 2020/05/07 | 2022/12/29 | 75.00          |
| 65605    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 Y             | 150,000,000  | 2020/05/07 | 2023/01/30 | 37.50          |
| 65723    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 S             | 150,000,000  | 2020/05/07 | 2020/09/29 | 37.50          |
| 65568    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 T             | 150,000,000  | 2020/05/07 | 2020/09/29 | 37.50          |
| 65770    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 X             | 200,000,000  | 2020/05/07 | 2020/10/29 | 50.00          |
| 65800    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 Y             | 300,000,000  | 2020/05/07 | 2020/10/29 | 75.00          |

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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 65591    | Haitong Int'l Sec - Tencent R Bull CBBC Sep 2020 Y        | 400,000,000  | 2020/05/07 | 2020/09/16 | 100.00         |
| 62914    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 P             | 200,000,000  | 2020/05/07 | 2023/01/30 | 50.00          |
| 63139    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Y             | 200,000,000  | 2020/05/07 | 2023/02/27 | 50.00          |
| 63252    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Z             | 200,000,000  | 2020/05/07 | 2023/02/27 | 50.00          |
| 63266    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 R             | 240,000,000  | 2020/05/07 | 2023/03/30 | 60.00          |
| 63272    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 F             | 200,000,000  | 2020/05/07 | 2020/10/29 | 50.00          |
| 63445    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 G             | 240,000,000  | 2020/05/07 | 2020/10/29 | 60.00          |
| 63308    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 H             | 200,000,000  | 2020/05/07 | 2020/11/27 | 50.00          |
| 63456    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 O             | 200,000,000  | 2020/05/07 | 2020/11/27 | 50.00          |
| 62858    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 T             | 200,000,000  | 2020/05/07 | 2020/11/27 | 50.00          |
| 63375    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 F             | 200,000,000  | 2020/05/07 | 2020/12/30 | 50.00          |
| 62859    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 A             | 200,000,000  | 2020/05/07 | 2021/01/28 | 50.00          |
| 62867    | J P Morgan SP BV - Tencent R Bull CBBC Aug 2020 O         | 50,000,000   | 2020/05/07 | 2020/08/14 | 12.50          |
| 62873    | J P Morgan SP BV - Tencent R Bull CBBC Sep 2020 C         | 50,000,000   | 2020/05/07 | 2020/09/11 | 12.75          |
| 64187    | Morgan Stanley Asia Products - HSI R Bull CBBC Jul 2022 H | 200,000,000  | 2020/05/07 | 2022/07/28 | 50.00          |
| 64167    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 J | 150,000,000  | 2020/05/07 | 2022/11/29 | 37.50          |
| 64206    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 D | 150,000,000  | 2020/05/07 | 2023/02/27 | 37.50          |
| 61932    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 N | 150,000,000  | 2020/05/07 | 2020/10/29 | 37.50          |
| 62484    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 O | 150,000,000  | 2020/05/07 | 2020/10/29 | 37.50          |
| 64837    | SG Issuer - AIA R Bear CBBC Dec 2020 B                    | 60,000,000   | 2020/05/07 | 2020/12/30 | 15.00          |
| 65399    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 L          | 150,000,000  | 2020/05/07 | 2020/12/30 | 37.50          |
| 65040    | SG Issuer - HKEX R Bull CBBC Sep 2020 G                   | 50,000,000   | 2020/05/07 | 2020/09/30 | 12.50          |
| 65427    | SG Issuer - HKEX R Bull CBBC Sep 2020 H                   | 50,000,000   | 2020/05/07 | 2020/09/29 | 12.50          |
| 65058    | SG Issuer - HKEX R Bear CBBC Dec 2020 D                   | 200,000,000  | 2020/05/07 | 2020/12/31 | 50.00          |
| 65257    | SG Issuer - HSI R Bull CBBC Feb 2023 R                    | 250,000,000  | 2020/05/07 | 2023/02/27 | 62.50          |
| 65269    | SG Issuer - HSI R Bull CBBC Apr 2023 T                    | 250,000,000  | 2020/05/07 | 2023/04/27 | 62.50          |
| 65278    | SG Issuer - HSI R Bull CBBC Apr 2023 U                    | 500,000,000  | 2020/05/07 | 2023/04/27 | 125.00         |
| 65298    | SG Issuer - HSI R Bull CBBC May 2023 I                    | 250,000,000  | 2020/05/07 | 2023/05/30 | 62.50          |
| 65331    | SG Issuer - HSI R Bull CBBC May 2023 J                    | 250,000,000  | 2020/05/07 | 2023/05/30 | 62.50          |
| 64902    | SG Issuer - HSI R Bear CBBC Aug 2020 O                    | 250,000,000  | 2020/05/07 | 2020/08/28 | 62.50          |
| 64965    | SG Issuer - HSI R Bear CBBC Sep 2020 G                    | 250,000,000  | 2020/05/07 | 2020/09/29 | 62.50          |
| 65204    | SG Issuer - HSI R Bear CBBC Nov 2020 Z                    | 250,000,000  | 2020/05/07 | 2020/11/27 | 62.50          |
| 65209    | SG Issuer - HSI R Bear CBBC Dec 2020 N                    | 250,000,000  | 2020/05/07 | 2020/12/30 | 62.50          |
| 65222    | SG Issuer - HSI R Bear CBBC Dec 2020 O                    | 250,000,000  | 2020/05/07 | 2020/12/30 | 62.50          |
| 65036    | SG Issuer - HSI R Bear CBBC Jan 2021 N                    | 500,000,000  | 2020/05/07 | 2021/01/28 | 125.00         |
| 65246    | SG Issuer - HSI R Bear CBBC Jan 2021 O                    | 250,000,000  | 2020/05/07 | 2021/01/28 | 62.50          |
| 65254    | SG Issuer - HSI R Bear CBBC Jan 2021 P                    | 250,000,000  | 2020/05/07 | 2021/01/28 | 62.50          |
| 65059    | SG Issuer - Meituan Dianping R Bull CBBC Sep 2020 E       | 100,000,000  | 2020/05/07 | 2020/09/30 | 25.00          |
| 65062    | SG Issuer - Ping An R Bull CBBC Jan 2021 G                | 100,000,000  | 2020/05/07 | 2021/01/28 | 25.00          |
| 65454    | SG Issuer - Tencent R Bull CBBC Sep 2020 E                | 80,000,000   | 2020/05/07 | 2020/09/30 | 20.00          |
| 65490    | SG Issuer - Tencent R Bull CBBC Dec 2020 P                | 200,000,000  | 2020/05/07 | 2020/12/30 | 50.00          |
| 65093    | SG Issuer - Tencent R Bear CBBC Dec 2020 D                | 80,000,000   | 2020/05/07 | 2020/12/30 | 20.00          |
| 65113    | SG Issuer - Tencent R Bear CBBC Jan 2021 D                | 80,000,000   | 2020/05/07 | 2021/01/29 | 20.00          |
| 64885    | SG Issuer - Tencent R Bear CBBC Feb 2021 N                | 80,000,000   | 2020/05/07 | 2021/02/26 | 20.00          |
| 65117    | SG Issuer - Tencent R Bear CBBC Feb 2021 O                | 80,000,000   | 2020/05/07 | 2021/02/26 | 31.20          |

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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 65170    | SG Issuer - Tencent R Bear CBBC Apr 2021 A              | 80,000,000   | 2020/05/07 | 2021/04/30 | 56.80          |
| 65171    | SG Issuer - Tencent R Bear CBBC Apr 2021 B              | 200,000,000  | 2020/05/07 | 2021/04/30 | 50.00          |
| 61709    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 F           | 80,000,000   | 2020/05/07 | 2021/02/24 | 20.00          |
| 61282    | UBS AG - Bud Apac R Bull CBBC Mar 2021 A                | 100,000,000  | 2020/05/07 | 2021/03/31 | 25.00          |
| 61296    | UBS AG - Bud Apac R Bull CBBC Jun 2021 A                | 100,000,000  | 2020/05/07 | 2021/06/30 | 25.00          |
| 61298    | UBS AG - Bud Apac R Bear CBBC Mar 2021 A                | 100,000,000  | 2020/05/07 | 2021/03/31 | 25.00          |
| 61304    | UBS AG - Bud Apac R Bear CBBC Jun 2021 A                | 100,000,000  | 2020/05/07 | 2021/06/30 | 25.00          |
| 61604    | UBS AG - China Life R Bull CBBC Jun 2021 B              | 100,000,000  | 2020/05/07 | 2021/06/30 | 25.00          |
| 61432    | UBS AG - China Res Land R Bull CBBC Mar 2021 A          | 100,000,000  | 2020/05/07 | 2021/03/31 | 25.00          |
| 61588    | UBS AG - China Res Land R Bull CBBC Jun 2021 A          | 100,000,000  | 2020/05/07 | 2021/06/30 | 25.00          |
| 61597    | UBS AG - China Res Land R Bear CBBC Jun 2021 A          | 100,000,000  | 2020/05/07 | 2021/06/30 | 25.00          |
| 63809    | UBS AG - HSI R Bull CBBC Sep 2022 R                     | 200,000,000  | 2020/05/07 | 2022/09/29 | 50.00          |
| 63833    | UBS AG - HSI R Bull CBBC Sep 2022 X                     | 200,000,000  | 2020/05/07 | 2022/09/29 | 50.00          |
| 64014    | UBS AG - HSI R Bull CBBC Sep 2022 Y                     | 200,000,000  | 2020/05/07 | 2022/09/29 | 50.00          |
| 63829    | UBS AG - HSI R Bull CBBC Oct 2022 F                     | 200,000,000  | 2020/05/07 | 2022/10/28 | 50.00          |
| 64013    | UBS AG - HSI R Bull CBBC Oct 2022 P                     | 200,000,000  | 2020/05/07 | 2022/10/28 | 50.00          |
| 61682    | UBS AG - HSI R Bear CBBC Sep 2020 N                     | 200,000,000  | 2020/05/07 | 2020/09/29 | 50.00          |
| 61692    | UBS AG - HSI R Bear CBBC Sep 2020 X                     | 200,000,000  | 2020/05/07 | 2020/09/29 | 50.00          |
| 63739    | UBS AG - HSI R Bear CBBC Oct 2020 P                     | 200,000,000  | 2020/05/07 | 2020/10/29 | 50.00          |
| 64164    | UBS AG - HSI R Bear CBBC Dec 2020 Q                     | 300,000,000  | 2020/05/07 | 2020/12/30 | 75.00          |
| 63667    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 M        | 50,000,000   | 2020/05/07 | 2020/12/04 | 12.50          |
| 63782    | UBS AG - Tencent R Bull CBBC Jan 2021 G                 | 40,000,000   | 2020/05/07 | 2021/01/18 | 10.00          |
| 64713    | Bank Vontobel - Bud Apac R Bull CBBC Dec 2020 C         | 40,000,000   | 2020/05/07 | 2020/12/11 | 10.00          |
| 64735    | Bank Vontobel - China Res Land R Bull CBBC Dec 2020 C   | 40,000,000   | 2020/05/07 | 2020/12/18 | 10.00          |
| 64736    | Bank Vontobel - China Res Land R Bull CBBC Dec 2020 D   | 40,000,000   | 2020/05/07 | 2020/12/18 | 10.00          |
| 64627    | Bank Vontobel - CSPC Pharma R Bull CBBC Dec 2020 D      | 20,000,000   | 2020/05/07 | 2020/12/04 | 12.20          |
| 64591    | Bank Vontobel - CSPC Pharma R Bear CBBC Dec 2020 C      | 40,000,000   | 2020/05/07 | 2020/12/04 | 10.00          |
| 64737    | Bank Vontobel - Meituan Dianping R Bear CBBC Dec 2020 S | 60,000,000   | 2020/05/07 | 2020/12/04 | 15.00          |
| 64652    | Bank Vontobel - SHK Ppt R Bull CBBC Dec 2020 F          | 40,000,000   | 2020/05/07 | 2020/12/18 | 10.00          |
| 64702    | Bank Vontobel - SHK Ppt R Bull CBBC Dec 2020 G          | 40,000,000   | 2020/05/07 | 2020/12/04 | 13.20          |
| 64648    | Bank Vontobel - SHK Ppt R Bear CBBC Dec 2020 E          | 40,000,000   | 2020/05/07 | 2020/12/11 | 10.00          |
| 64834    | Bank Vontobel - Tencent R Bull CBBC Nov 2020 R          | 40,000,000   | 2020/05/07 | 2020/11/13 | 10.00          |
| 66219    | BOCI Asia Ltd. - Bud Apac R Bull CBBC Dec 2020 A        | 40,000,000   | 2020/05/08 | 2020/12/30 | 10.00          |
| 66187    | BOCI Asia Ltd. - CSPC Pharma R Bull CBBC Dec 2020 A     | 40,000,000   | 2020/05/08 | 2020/12/31 | 14.00          |
| 66200    | BOCI Asia Ltd. - CSPC Pharma R Bull CBBC Dec 2020 B     | 40,000,000   | 2020/05/08 | 2020/12/31 | 10.00          |
| 66159    | BOCI Asia Ltd. - HSCEI R Bull CBBC Sep 2021 M           | 150,000,000  | 2020/05/08 | 2021/09/29 | 37.50          |
| 66160    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 A             | 150,000,000  | 2020/05/08 | 2023/01/30 | 37.50          |
| 66180    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 B             | 150,000,000  | 2020/05/08 | 2023/01/30 | 37.50          |
| 66271    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 A             | 150,000,000  | 2020/05/08 | 2020/10/29 | 37.50          |
| 66231    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 Z             | 150,000,000  | 2020/05/08 | 2020/10/29 | 37.50          |
| 66183    | BOCI Asia Ltd. - Sino Biopharm R Bull CBBC Dec 2020 A   | 40,000,000   | 2020/05/08 | 2020/12/31 | 12.40          |
| 66185    | BOCI Asia Ltd. - Sino Biopharm R Bull CBBC Dec 2020 B   | 40,000,000   | 2020/05/08 | 2020/12/31 | 10.00          |
| 66215    | BOCI Asia Ltd. - SHK Ppt R Bull CBBC Dec 2020 B         | 40,000,000   | 2020/05/08 | 2020/12/31 | 10.00          |
| 67118    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 L  | 150,000,000  | 2020/05/08 | 2022/10/28 | 37.50          |
| 67089    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 B  | 250,000,000  | 2020/05/08 | 2020/12/30 | 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 67117    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 U   | 250,000,000  | 2020/05/08 | 2020/12/30 | 62.50          |
| 67130    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 V   | 240,000,000  | 2020/05/08 | 2020/12/30 | 60.00          |
| 67088    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Z   | 250,000,000  | 2020/05/08 | 2020/12/30 | 62.50          |
| 66769    | Credit Suisse AG - CM Bank R Bull CBBC Dec 2020 B        | 80,000,000   | 2020/05/08 | 2020/12/30 | 20.00          |
| 66766    | Credit Suisse AG - CSPC Pharma R Bull CBBC Jan 2021 B    | 100,000,000  | 2020/05/08 | 2021/01/28 | 25.00          |
| 66746    | Credit Suisse AG - Geely Auto R Bull CBBC Sep 2020 E     | 40,000,000   | 2020/05/08 | 2020/09/29 | 10.00          |
| 66764    | Credit Suisse AG - HKEX R Bull CBBC Oct 2020 B           | 50,000,000   | 2020/05/08 | 2020/10/29 | 12.50          |
| 66703    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 D            | 200,000,000  | 2020/05/08 | 2022/10/28 | 50.00          |
| 66723    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 Y            | 200,000,000  | 2020/05/08 | 2022/10/28 | 50.00          |
| 66697    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 X            | 200,000,000  | 2020/05/08 | 2022/11/29 | 50.00          |
| 66693    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 V            | 200,000,000  | 2020/05/08 | 2023/02/27 | 50.00          |
| 66781    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 W            | 200,000,000  | 2020/05/08 | 2023/02/27 | 50.00          |
| 66537    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 P            | 200,000,000  | 2020/05/08 | 2020/10/29 | 50.00          |
| 66556    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Q            | 200,000,000  | 2020/05/08 | 2020/10/29 | 50.00          |
| 66541    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 K            | 200,000,000  | 2020/05/08 | 2020/11/27 | 50.00          |
| 66620    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 N            | 200,000,000  | 2020/05/08 | 2020/11/27 | 50.00          |
| 66575    | Credit Suisse AG - Link REIT R Bull CBBC Dec 2020 F      | 50,000,000   | 2020/05/08 | 2020/12/30 | 12.50          |
| 66582    | Credit Suisse AG - Link REIT R Bear CBBC Sep 2020 A      | 50,000,000   | 2020/05/08 | 2020/09/29 | 12.50          |
| 66780    | Credit Suisse AG - Ping An R Bull CBBC Oct 2020 E        | 80,000,000   | 2020/05/08 | 2020/10/29 | 20.00          |
| 66619    | Credit Suisse AG - Sino Biopharm R Bull CBBC Dec 2020 C  | 50,000,000   | 2020/05/08 | 2020/12/30 | 12.50          |
| 66598    | Credit Suisse AG - SHK Ppt R Bull CBBC Dec 2020 A        | 50,000,000   | 2020/05/08 | 2020/12/30 | 12.50          |
| 66599    | Credit Suisse AG - SHK Ppt R Bear CBBC Oct 2020 A        | 50,000,000   | 2020/05/08 | 2020/10/29 | 12.50          |
| 67364    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Jun 2021 A    | 80,000,000   | 2020/05/08 | 2021/06/30 | 20.00          |
| 67358    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 A     | 160,000,000  | 2020/05/08 | 2023/05/30 | 40.00          |
| 67398    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 B     | 160,000,000  | 2020/05/08 | 2023/05/30 | 40.00          |
| 67415    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 C     | 160,000,000  | 2020/05/08 | 2023/05/30 | 40.00          |
| 67418    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 D     | 160,000,000  | 2020/05/08 | 2023/05/30 | 40.00          |
| 67346    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 E     | 160,000,000  | 2020/05/08 | 2020/08/28 | 40.00          |
| 67368    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 G     | 160,000,000  | 2020/05/08 | 2020/08/28 | 40.00          |
| 67369    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 C     | 160,000,000  | 2020/05/08 | 2020/12/30 | 40.00          |
| 67370    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 D     | 160,000,000  | 2020/05/08 | 2020/12/30 | 40.00          |
| 67378    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 T     | 160,000,000  | 2020/05/08 | 2020/12/30 | 40.00          |
| 67360    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Dec 2020 D | 60,000,000   | 2020/05/08 | 2020/12/30 | 15.00          |
| 67359    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 O | 60,000,000   | 2020/05/08 | 2020/10/30 | 15.00          |
| 66124    | HK Bank - Bud Apac R Bull CBBC Jan 2021 A                | 40,000,000   | 2020/05/08 | 2021/01/25 | 10.00          |
| 66107    | HK Bank - CC Bank R Bull CBBC Oct 2020 B                 | 60,000,000   | 2020/05/08 | 2020/10/19 | 15.00          |
| 66129    | HK Bank - China Res Land R Bull CBBC Jan 2021 A          | 60,000,000   | 2020/05/08 | 2021/01/25 | 15.00          |
| 66128    | HK Bank - Geely Auto R Bull CBBC Nov 2020 A              | 40,000,000   | 2020/05/08 | 2020/11/19 | 10.00          |
| 66066    | HK Bank - HSI R Bull CBBC Sep 2022 U                     | 60,000,000   | 2020/05/08 | 2022/09/29 | 15.00          |
| 66069    | HK Bank - HSI R Bull CBBC Dec 2022 J                     | 100,000,000  | 2020/05/08 | 2022/12/29 | 25.00          |
| 66009    | HK Bank - HSI R Bear CBBC Sep 2020 I                     | 100,000,000  | 2020/05/08 | 2020/09/29 | 25.00          |
| 66100    | HK Bank - Meituan Dianping R Bear CBBC Oct 2020 C        | 40,000,000   | 2020/05/08 | 2020/10/12 | 10.00          |
| 66051    | HK Bank - SHK Ppt R Bull CBBC Dec 2020 A                 | 40,000,000   | 2020/05/08 | 2020/12/21 | 10.00          |
| 66068    | HK Bank - SHK Ppt R Bull CBBC Jan 2021 A                 | 40,000,000   | 2020/05/08 | 2021/01/25 | 10.00          |
| 66019    | HK Bank - SHK Ppt R Bear CBBC Sep 2020 A                 | 40,000,000   | 2020/05/08 | 2020/09/28 | 10.00          |

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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 66038    | HK Bank - SUNAC R Bull CBBC Oct 2020 C                    | 40,000,000   | 2020/05/08 | 2020/10/15 | 10.00          |
| 67077    | Haitong Int'l Sec - HKEX R Bull CBBC Oct 2020 A           | 40,000,000   | 2020/05/08 | 2020/10/19 | 10.00          |
| 67079    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 B            | 150,000,000  | 2020/05/08 | 2023/04/27 | 37.50          |
| 67084    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 C            | 200,000,000  | 2020/05/08 | 2023/04/27 | 50.00          |
| 67086    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 D            | 150,000,000  | 2020/05/08 | 2023/04/27 | 37.50          |
| 67056    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 Z            | 150,000,000  | 2020/05/08 | 2020/10/29 | 37.50          |
| 67078    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 Q            | 200,000,000  | 2020/05/08 | 2020/12/30 | 50.00          |
| 67062    | Haitong Int'l Sec - Tencent R Bear CBBC Dec 2020 F        | 40,000,000   | 2020/05/08 | 2020/12/22 | 10.00          |
| 67002    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 S             | 200,000,000  | 2020/05/08 | 2023/03/30 | 50.00          |
| 67027    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 T             | 200,000,000  | 2020/05/08 | 2023/03/30 | 50.00          |
| 67028    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 U             | 200,000,000  | 2020/05/08 | 2023/03/30 | 50.00          |
| 67045    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 V             | 200,000,000  | 2020/05/08 | 2023/03/30 | 50.00          |
| 67042    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 I             | 200,000,000  | 2020/05/08 | 2020/10/29 | 50.00          |
| 67043    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 J             | 240,000,000  | 2020/05/08 | 2020/10/29 | 60.00          |
| 66866    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 Q             | 200,000,000  | 2020/05/08 | 2020/11/27 | 50.00          |
| 66971    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 P             | 200,000,000  | 2020/05/08 | 2020/12/30 | 50.00          |
| 66994    | J P Morgan SP BV - Tencent R Bull CBBC Aug 2020 P         | 50,000,000   | 2020/05/08 | 2020/08/14 | 12.50          |
| 66796    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 J | 150,000,000  | 2020/05/08 | 2023/01/30 | 37.50          |
| 67133    | SG Issuer - AIA R Bear CBBC Dec 2020 C                    | 60,000,000   | 2020/05/08 | 2020/12/30 | 15.00          |
| 67156    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 F          | 60,000,000   | 2020/05/08 | 2020/11/30 | 15.00          |
| 67222    | SG Issuer - China Life R Bull CBBC Jul 2021 D             | 150,000,000  | 2020/05/08 | 2021/07/30 | 37.50          |
| 67158    | SG Issuer - China Life R Bear CBBC Jan 2021 A             | 150,000,000  | 2020/05/08 | 2021/01/28 | 37.50          |
| 67223    | SG Issuer - China Res Land R Bull CBBC Apr 2021 A         | 80,000,000   | 2020/05/08 | 2021/04/30 | 20.00          |
| 67165    | SG Issuer - China Res Land R Bear CBBC Jan 2021 A         | 80,000,000   | 2020/05/08 | 2021/01/28 | 20.00          |
| 67232    | SG Issuer - China Res Land R Bear CBBC Apr 2021 A         | 80,000,000   | 2020/05/08 | 2021/04/30 | 20.00          |
| 67235    | SG Issuer - Galaxy Ent R Bear CBBC Dec 2020 G             | 100,000,000  | 2020/05/08 | 2020/12/30 | 25.00          |
| 67172    | SG Issuer - HKEX R Bear CBBC Dec 2020 E                   | 50,000,000   | 2020/05/08 | 2020/12/29 | 12.50          |
| 67296    | SG Issuer - HSI R Bull CBBC Oct 2022 L                    | 250,000,000  | 2020/05/08 | 2022/10/28 | 62.50          |
| 67298    | SG Issuer - HSI R Bull CBBC Oct 2022 R                    | 250,000,000  | 2020/05/08 | 2022/10/28 | 62.50          |
| 67299    | SG Issuer - HSI R Bull CBBC Apr 2023 V                    | 250,000,000  | 2020/05/08 | 2023/04/27 | 62.50          |
| 67320    | SG Issuer - HSI R Bull CBBC May 2023 K                    | 250,000,000  | 2020/05/08 | 2023/05/30 | 62.50          |
| 67340    | SG Issuer - HSI R Bull CBBC May 2023 L                    | 250,000,000  | 2020/05/08 | 2023/05/30 | 62.50          |
| 67211    | SG Issuer - HSI R Bear CBBC Aug 2020 H                    | 250,000,000  | 2020/05/08 | 2020/08/28 | 62.50          |
| 67283    | SG Issuer - HSI R Bear CBBC Oct 2020 B                    | 250,000,000  | 2020/05/08 | 2020/10/29 | 62.50          |
| 67250    | SG Issuer - HSI R Bear CBBC Oct 2020 H                    | 250,000,000  | 2020/05/08 | 2020/10/29 | 62.50          |
| 67289    | SG Issuer - HSI R Bear CBBC Dec 2020 I                    | 250,000,000  | 2020/05/08 | 2020/12/30 | 62.50          |
| 67288    | SG Issuer - HSI R Bear CBBC Dec 2020 P                    | 250,000,000  | 2020/05/08 | 2020/12/30 | 62.50          |
| 67292    | SG Issuer - HSI R Bear CBBC Jan 2021 Q                    | 500,000,000  | 2020/05/08 | 2021/01/28 | 125.00         |
| 67236    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 T       | 100,000,000  | 2020/05/08 | 2020/12/30 | 25.00          |
| 67174    | SG Issuer - Meituan Dianping R Bear CBBC Nov 2020 C       | 100,000,000  | 2020/05/08 | 2020/11/27 | 25.00          |
| 67175    | SG Issuer - Ping An R Bear CBBC Nov 2020 D                | 100,000,000  | 2020/05/08 | 2020/11/27 | 25.00          |
| 67203    | SG Issuer - SHK Ppt R Bull CBBC Apr 2021 D                | 100,000,000  | 2020/05/08 | 2021/04/29 | 25.00          |
| 67206    | SG Issuer - Tencent R Bull CBBC Nov 2020 F                | 80,000,000   | 2020/05/08 | 2020/11/30 | 20.00          |
| 66352    | UBS AG - CSPC Pharma R Bull CBBC Jun 2021 A               | 100,000,000  | 2020/05/08 | 2021/06/30 | 25.00          |
| 66351    | UBS AG - CSPC Pharma R Bull CBBC Sep 2021 A               | 100,000,000  | 2020/05/08 | 2021/09/30 | 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 66355    | UBS AG - CSPC Pharma R Bull CBBC Dec 2021 B             | 100,000,000  | 2020/05/08 | 2021/12/31 | 25.00          |
| 66389    | UBS AG - CSPC Pharma R Bear CBBC Jun 2021 A             | 100,000,000  | 2020/05/08 | 2021/06/30 | 25.00          |
| 66387    | UBS AG - CSPC Pharma R Bear CBBC Sep 2021 A             | 100,000,000  | 2020/05/08 | 2021/09/30 | 25.00          |
| 66491    | UBS AG - HKEX R Bull CBBC Jan 2021 B                    | 50,000,000   | 2020/05/08 | 2021/01/19 | 12.50          |
| 66513    | UBS AG - HKEX R Bear CBBC Jan 2021 A                    | 200,000,000  | 2020/05/08 | 2021/01/19 | 50.00          |
| 66309    | UBS AG - HSBC R Bear CBBC Dec 2020 E                    | 100,000,000  | 2020/05/08 | 2020/12/08 | 25.00          |
| 66286    | UBS AG - HSI R Bull CBBC Sep 2022 Z                     | 200,000,000  | 2020/05/08 | 2022/09/29 | 50.00          |
| 66448    | UBS AG - HSI R Bull CBBC Oct 2022 Q                     | 200,000,000  | 2020/05/08 | 2022/10/28 | 50.00          |
| 66449    | UBS AG - HSI R Bull CBBC Oct 2022 W                     | 200,000,000  | 2020/05/08 | 2022/10/28 | 50.00          |
| 66273    | UBS AG - HSI R Bear CBBC Sep 2020 Q                     | 200,000,000  | 2020/05/08 | 2020/09/29 | 50.00          |
| 66460    | UBS AG - HSI R Bear CBBC Jan 2021 C                     | 200,000,000  | 2020/05/08 | 2021/01/28 | 50.00          |
| 66465    | UBS AG - HSI R Bear CBBC Jan 2021 F                     | 200,000,000  | 2020/05/08 | 2021/01/28 | 50.00          |
| 66469    | UBS AG - HSI R Bear CBBC Jan 2021 G                     | 200,000,000  | 2020/05/08 | 2021/01/28 | 50.00          |
| 66475    | UBS AG - Meituan Dianping R Bull CBBC Dec 2020 Y        | 50,000,000   | 2020/05/08 | 2020/12/17 | 12.50          |
| 66470    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 N        | 50,000,000   | 2020/05/08 | 2020/12/30 | 12.50          |
| 66473    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 O        | 50,000,000   | 2020/05/08 | 2020/12/31 | 12.50          |
| 66521    | UBS AG - Ping An R Bull CBBC Jan 2021 A                 | 100,000,000  | 2020/05/08 | 2021/01/19 | 25.00          |
| 66288    | UBS AG - Ping An R Bear CBBC Dec 2020 F                 | 100,000,000  | 2020/05/08 | 2020/12/14 | 25.00          |
| 66297    | UBS AG - Ping An R Bear CBBC Dec 2020 G                 | 100,000,000  | 2020/05/08 | 2020/12/30 | 25.00          |
| 66390    | UBS AG - Sino Biopharm R Bull CBBC Jun 2021 A           | 40,000,000   | 2020/05/08 | 2021/06/30 | 10.00          |
| 66394    | UBS AG - Sino Biopharm R Bull CBBC Sep 2021 A           | 40,000,000   | 2020/05/08 | 2021/09/30 | 10.00          |
| 66395    | UBS AG - Sino Biopharm R Bear CBBC Jun 2021 A           | 40,000,000   | 2020/05/08 | 2021/06/30 | 10.00          |
| 66439    | UBS AG - Sino Biopharm R Bear CBBC Sep 2021 A           | 150,000,000  | 2020/05/08 | 2021/09/30 | 37.50          |
| 66348    | UBS AG - SHK Ppt R Bull CBBC Jun 2021 A                 | 40,000,000   | 2020/05/08 | 2021/06/30 | 10.00          |
| 66347    | UBS AG - SHK Ppt R Bull CBBC Dec 2021 A                 | 150,000,000  | 2020/05/08 | 2021/12/31 | 37.50          |
| 66335    | UBS AG - SHK Ppt R Bear CBBC Jun 2021 A                 | 150,000,000  | 2020/05/08 | 2021/06/30 | 37.50          |
| 66452    | UBS AG - Sunny Optical R Bear CBBC Dec 2020 D           | 30,000,000   | 2020/05/08 | 2020/12/31 | 10.20          |
| 66479    | UBS AG - Tencent R Bull CBBC Jan 2021 H                 | 200,000,000  | 2020/05/08 | 2021/01/19 | 50.00          |
| 66303    | UBS AG - Tencent R Bear CBBC Dec 2020 R                 | 200,000,000  | 2020/05/08 | 2020/12/09 | 50.00          |
| 66797    | Bank Vontobel - China Res Land R Bear CBBC Dec 2020 A   | 40,000,000   | 2020/05/08 | 2020/12/18 | 12.00          |
| 66814    | Bank Vontobel - China Res Land R Bear CBBC Dec 2020 B   | 40,000,000   | 2020/05/08 | 2020/12/04 | 10.00          |
| 66834    | Bank Vontobel - HKEX R Bull CBBC Dec 2020 H             | 40,000,000   | 2020/05/08 | 2020/12/18 | 10.00          |
| 66853    | Bank Vontobel - HSI R Bull CBBC Dec 2022 F              | 80,000,000   | 2020/05/08 | 2022/12/29 | 20.00          |
| 66857    | Bank Vontobel - HSI R Bull CBBC Dec 2022 G              | 80,000,000   | 2020/05/08 | 2022/12/29 | 20.00          |
| 66852    | Bank Vontobel - HSI R Bear CBBC Dec 2020 G              | 80,000,000   | 2020/05/08 | 2020/12/30 | 20.00          |
| 66848    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 U | 60,000,000   | 2020/05/08 | 2020/12/11 | 15.00          |
| 66858    | Bank Vontobel - Sino Biopharm R Bull CBBC Jan 2021 A    | 30,000,000   | 2020/05/08 | 2021/01/22 | 11.70          |
| 66816    | Bank Vontobel - Tencent R Bull CBBC Oct 2020 F          | 40,000,000   | 2020/05/08 | 2020/10/23 | 10.00          |
| 67612    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 F   | 60,000,000   | 2020/05/11 | 2020/12/31 | 15.00          |
| 67616    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 D   | 60,000,000   | 2020/05/11 | 2020/12/31 | 15.00          |
| 67590    | BOCI Asia Ltd. - CSOP A50 ETF R Bull CBBC Dec 2020 B    | 40,000,000   | 2020/05/11 | 2020/12/31 | 10.00          |
| 67602    | BOCI Asia Ltd. - CSOP A50 ETF R Bull CBBC Dec 2020 C    | 40,000,000   | 2020/05/11 | 2020/12/31 | 10.00          |
| 67629    | BOCI Asia Ltd. - HSBC R Bear CBBC Dec 2020 A            | 70,000,000   | 2020/05/11 | 2020/12/31 | 17.50          |
| 67440    | BOCI Asia Ltd. - HSCEI R Bull CBBC Sep 2021 N           | 150,000,000  | 2020/05/11 | 2021/09/29 | 37.50          |
| 67419    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 C             | 150,000,000  | 2020/05/11 | 2023/01/30 | 37.50          |

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| 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 67423    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 D              | 150,000,000  | 2020/05/11 | 2023/01/30 | 37.50          |
| 67426    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 E              | 150,000,000  | 2020/05/11 | 2023/01/30 | 37.50          |
| 67431    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 F              | 150,000,000  | 2020/05/11 | 2023/01/30 | 37.50          |
| 67439    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 G              | 150,000,000  | 2020/05/11 | 2023/01/30 | 37.50          |
| 67549    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 B              | 150,000,000  | 2020/05/11 | 2020/10/29 | 37.50          |
| 67551    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 D              | 150,000,000  | 2020/05/11 | 2020/10/29 | 37.50          |
| 67570    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 E              | 150,000,000  | 2020/05/11 | 2020/10/29 | 37.50          |
| 67571    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 G              | 150,000,000  | 2020/05/11 | 2020/10/29 | 37.50          |
| 67626    | BOCI Asia Ltd. - Ping An R Bear CBBC Sep 2020 H          | 100,000,000  | 2020/05/11 | 2020/09/29 | 25.00          |
| 67604    | BOCI Asia Ltd. - Sands China R Bull CBBC Dec 2020 B      | 80,000,000   | 2020/05/11 | 2020/12/30 | 20.00          |
| 67611    | BOCI Asia Ltd. - Sands China R Bull CBBC Dec 2020 C      | 80,000,000   | 2020/05/11 | 2020/12/30 | 20.00          |
| 67631    | BOCI Asia Ltd. - Xiaomi R Bear CBBC Dec 2020 A           | 40,000,000   | 2020/05/11 | 2020/12/31 | 10.00          |
| 67453    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 M   | 250,000,000  | 2020/05/11 | 2022/10/28 | 62.50          |
| 67462    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 N   | 250,000,000  | 2020/05/11 | 2022/10/28 | 62.50          |
| 67702    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 O   | 140,000,000  | 2020/05/11 | 2022/10/28 | 35.00          |
| 67706    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 C   | 250,000,000  | 2020/05/11 | 2020/12/30 | 62.50          |
| 67713    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 D   | 240,000,000  | 2020/05/11 | 2020/12/30 | 60.00          |
| 67704    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 X   | 250,000,000  | 2020/05/11 | 2020/12/30 | 62.50          |
| 68088    | Credit Suisse AG - Alibaba Group R Bear CBBC Oct 2020 B  | 50,000,000   | 2020/05/11 | 2020/10/29 | 12.50          |
| 68080    | Credit Suisse AG - CSOP A50 ETF R Bull CBBC Jan 2021 B   | 50,000,000   | 2020/05/11 | 2021/01/28 | 12.50          |
| 68105    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 A            | 200,000,000  | 2020/05/11 | 2023/01/30 | 50.00          |
| 68059    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 V            | 200,000,000  | 2020/05/11 | 2023/01/30 | 50.00          |
| 68071    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 W            | 200,000,000  | 2020/05/11 | 2023/01/30 | 50.00          |
| 68072    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 X            | 200,000,000  | 2020/05/11 | 2023/01/30 | 50.00          |
| 68076    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 Y            | 200,000,000  | 2020/05/11 | 2023/01/30 | 50.00          |
| 68097    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 Z            | 200,000,000  | 2020/05/11 | 2023/01/30 | 50.00          |
| 68062    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 X            | 200,000,000  | 2020/05/11 | 2023/02/27 | 50.00          |
| 68069    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 Y            | 200,000,000  | 2020/05/11 | 2023/02/27 | 50.00          |
| 68123    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 S            | 200,000,000  | 2020/05/11 | 2020/10/29 | 50.00          |
| 68125    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 T            | 200,000,000  | 2020/05/11 | 2020/10/29 | 50.00          |
| 68144    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 B            | 200,000,000  | 2020/05/11 | 2020/11/27 | 50.00          |
| 68145    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 U            | 200,000,000  | 2020/05/11 | 2020/11/27 | 50.00          |
| 68124    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 T            | 300,000,000  | 2020/05/11 | 2020/12/30 | 75.00          |
| 68141    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 U            | 300,000,000  | 2020/05/11 | 2020/12/30 | 75.00          |
| 68081    | Credit Suisse AG - Sands China R Bull CBBC Feb 2021 A    | 60,000,000   | 2020/05/11 | 2021/02/25 | 15.00          |
| 68084    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 I        | 50,000,000   | 2020/05/11 | 2020/10/29 | 12.50          |
| 68086    | Credit Suisse AG - Tencent R Bear CBBC Oct 2020 C        | 50,000,000   | 2020/05/11 | 2020/10/29 | 12.50          |
| 68357    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Feb 2021 B | 60,000,000   | 2020/05/11 | 2021/02/01 | 15.00          |
| 68313    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 E     | 160,000,000  | 2020/05/11 | 2023/05/30 | 40.00          |
| 68314    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 F     | 160,000,000  | 2020/05/11 | 2023/05/30 | 40.00          |
| 68315    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 G     | 160,000,000  | 2020/05/11 | 2023/05/30 | 40.00          |
| 68324    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 H     | 160,000,000  | 2020/05/11 | 2023/05/30 | 40.00          |
| 68344    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 I     | 160,000,000  | 2020/05/11 | 2023/05/30 | 40.00          |
| 68348    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 J     | 160,000,000  | 2020/05/11 | 2023/05/30 | 40.00          |
| 68400    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 K     | 160,000,000  | 2020/05/11 | 2023/05/30 | 40.00          |

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|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 68401    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 L     | 160,000,000  | 2020/05/11 | 2023/05/30 | 40.00          |
| 68402    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 M     | 160,000,000  | 2020/05/11 | 2023/05/30 | 40.00          |
| 68404    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 N     | 160,000,000  | 2020/05/11 | 2023/05/30 | 40.00          |
| 68345    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 H     | 160,000,000  | 2020/05/11 | 2020/08/28 | 40.00          |
| 68372    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 I     | 160,000,000  | 2020/05/11 | 2020/08/28 | 40.00          |
| 68397    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 Q     | 160,000,000  | 2020/05/11 | 2020/12/30 | 40.00          |
| 68390    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 X     | 160,000,000  | 2020/05/11 | 2020/12/30 | 40.00          |
| 68396    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 Z     | 160,000,000  | 2020/05/11 | 2020/12/30 | 40.00          |
| 68350    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 P | 60,000,000   | 2020/05/11 | 2020/10/30 | 15.00          |
| 68360    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 Q | 60,000,000   | 2020/05/11 | 2020/10/30 | 15.00          |
| 68366    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Jun 2021 A | 80,000,000   | 2020/05/11 | 2021/06/01 | 20.00          |
| 67444    | HK Bank - Alibaba Group R Bull CBBC Oct 2020 E           | 40,000,000   | 2020/05/11 | 2020/10/05 | 10.00          |
| 67501    | HK Bank - Alibaba Group R Bear CBBC Oct 2020 A           | 40,000,000   | 2020/05/11 | 2020/10/05 | 10.00          |
| 67441    | HK Bank - ANTA Sports R Bull CBBC Nov 2020 A             | 40,000,000   | 2020/05/11 | 2020/11/02 | 10.00          |
| 67463    | HK Bank - CSOP A50 ETF R Bull CBBC Jan 2021 A            | 40,000,000   | 2020/05/11 | 2021/01/11 | 10.00          |
| 67470    | HK Bank - CSOP A50 ETF R Bull CBBC Jan 2021 B            | 40,000,000   | 2020/05/11 | 2021/01/25 | 10.00          |
| 67452    | HK Bank - HSI R Bull CBBC Sep 2022 S                     | 100,000,000  | 2020/05/11 | 2022/09/29 | 25.00          |
| 67474    | HK Bank - HSI R Bear CBBC Sep 2020 J                     | 60,000,000   | 2020/05/11 | 2020/09/29 | 15.00          |
| 67485    | HK Bank - HSI R Bear CBBC Sep 2020 K                     | 80,000,000   | 2020/05/11 | 2020/09/29 | 20.00          |
| 67490    | HK Bank - HSI R Bear CBBC Sep 2020 M                     | 60,000,000   | 2020/05/11 | 2020/09/29 | 15.00          |
| 67534    | HK Bank - Sands China R Bull CBBC Sep 2020 A             | 40,000,000   | 2020/05/11 | 2020/09/28 | 10.00          |
| 67539    | HK Bank - Sands China R Bull CBBC Nov 2020 A             | 40,000,000   | 2020/05/11 | 2020/11/02 | 10.00          |
| 67548    | HK Bank - Sands China R Bear CBBC Sep 2020 A             | 40,000,000   | 2020/05/11 | 2020/09/14 | 10.00          |
| 67533    | HK Bank - SMIC R Bull CBBC Oct 2020 A                    | 40,000,000   | 2020/05/11 | 2020/10/12 | 10.00          |
| 67450    | HK Bank - Tencent R Bull CBBC Oct 2020 G                 | 40,000,000   | 2020/05/11 | 2020/10/19 | 10.00          |
| 67504    | HK Bank - Tencent R Bear CBBC Sep 2020 E                 | 40,000,000   | 2020/05/11 | 2020/09/14 | 10.00          |
| 67531    | HK Bank - ZTE R Bull CBBC Nov 2020 A                     | 40,000,000   | 2020/05/11 | 2020/11/09 | 10.00          |
| 68008    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Oct 2020 H | 40,000,000   | 2020/05/11 | 2020/10/23 | 10.00          |
| 68045    | Haitong Int'l Sec - Alibaba Group R Bear CBBC Oct 2020 E | 40,000,000   | 2020/05/11 | 2020/10/23 | 10.00          |
| 68057    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 F           | 200,000,000  | 2020/05/11 | 2022/10/28 | 50.00          |
| 68003    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 V           | 150,000,000  | 2020/05/11 | 2022/10/28 | 37.50          |
| 68005    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 W           | 200,000,000  | 2020/05/11 | 2022/10/28 | 50.00          |
| 68055    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 A           | 200,000,000  | 2020/05/11 | 2022/11/29 | 50.00          |
| 68047    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 U           | 150,000,000  | 2020/05/11 | 2020/09/29 | 37.50          |
| 68049    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 X           | 200,000,000  | 2020/05/11 | 2020/11/27 | 50.00          |
| 68052    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 Y           | 150,000,000  | 2020/05/11 | 2020/11/27 | 37.50          |
| 68007    | Haitong Int'l Sec - Tencent R Bull CBBC Oct 2020 Q       | 40,000,000   | 2020/05/11 | 2020/10/23 | 10.00          |
| 68014    | Haitong Int'l Sec - Tencent R Bull CBBC Oct 2020 R       | 40,000,000   | 2020/05/11 | 2020/10/16 | 10.00          |
| 68015    | Haitong Int'l Sec - Tencent R Bear CBBC Oct 2020 M       | 40,000,000   | 2020/05/11 | 2020/10/23 | 10.00          |
| 68041    | Haitong Int'l Sec - Tencent R Bear CBBC Oct 2020 N       | 40,000,000   | 2020/05/11 | 2020/10/16 | 10.00          |
| 67926    | J P Morgan SP BV - Alibaba Group R Bear CBBC Sep 2020 A  | 80,000,000   | 2020/05/11 | 2020/09/11 | 20.00          |
| 67861    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 T            | 200,000,000  | 2020/05/11 | 2023/01/30 | 50.00          |
| 67896    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 X            | 200,000,000  | 2020/05/11 | 2023/01/30 | 50.00          |
| 67964    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 Z            | 200,000,000  | 2020/05/11 | 2023/01/30 | 50.00          |
| 67904    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 L            | 200,000,000  | 2020/05/11 | 2023/02/27 | 50.00          |

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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 67868    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 P             | 200,000,000  | 2020/05/11 | 2023/02/27 | 50.00          |
| 67965    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 U             | 240,000,000  | 2020/05/11 | 2023/02/27 | 60.00          |
| 67879    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 W             | 200,000,000  | 2020/05/11 | 2023/03/30 | 50.00          |
| 67911    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 X             | 240,000,000  | 2020/05/11 | 2023/03/30 | 60.00          |
| 67970    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 Y             | 200,000,000  | 2020/05/11 | 2023/03/30 | 50.00          |
| 67973    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 L             | 200,000,000  | 2020/05/11 | 2020/10/29 | 50.00          |
| 67989    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 S             | 200,000,000  | 2020/05/11 | 2020/11/27 | 50.00          |
| 68000    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 V             | 200,000,000  | 2020/05/11 | 2020/11/27 | 50.00          |
| 67988    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 B             | 200,000,000  | 2020/05/11 | 2020/12/30 | 50.00          |
| 67913    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 W             | 200,000,000  | 2020/05/11 | 2020/12/30 | 50.00          |
| 67917    | J P Morgan SP BV - Tencent R Bear CBBC Sep 2020 B         | 50,000,000   | 2020/05/11 | 2020/09/11 | 12.50          |
| 67948    | J P Morgan SP BV - Tencent R Bear CBBC Sep 2020 C         | 50,000,000   | 2020/05/11 | 2020/09/18 | 17.50          |
| 67690    | Morgan Stanley Asia Products - HSI R Bull CBBC Jun 2022 O | 150,000,000  | 2020/05/11 | 2022/06/29 | 37.50          |
| 67691    | Morgan Stanley Asia Products - HSI R Bull CBBC Aug 2022 N | 150,000,000  | 2020/05/11 | 2022/08/30 | 37.50          |
| 67632    | Morgan Stanley Asia Products - HSI R Bull CBBC Oct 2022 B | 150,000,000  | 2020/05/11 | 2022/10/28 | 37.50          |
| 67649    | Morgan Stanley Asia Products - HSI R Bull CBBC Dec 2022 D | 150,000,000  | 2020/05/11 | 2022/12/29 | 37.50          |
| 67639    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 K | 150,000,000  | 2020/05/11 | 2023/01/30 | 37.50          |
| 67692    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 R | 150,000,000  | 2020/05/11 | 2020/09/29 | 37.50          |
| 67701    | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 D | 150,000,000  | 2020/05/11 | 2020/11/27 | 37.50          |
| 67693    | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 E | 150,000,000  | 2020/05/11 | 2020/12/30 | 37.50          |
| 68147    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 G          | 60,000,000   | 2020/05/11 | 2020/11/30 | 15.00          |
| 68151    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 M          | 60,000,000   | 2020/05/11 | 2020/12/31 | 15.00          |
| 68203    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 V          | 60,000,000   | 2020/05/11 | 2020/11/27 | 15.00          |
| 68219    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 F          | 150,000,000  | 2020/05/11 | 2021/01/28 | 37.50          |
| 68182    | SG Issuer - CSOP A50 ETF R Bull CBBC Feb 2021 F           | 100,000,000  | 2020/05/11 | 2021/02/25 | 25.00          |
| 68184    | SG Issuer - CSOP A50 ETF R Bull CBBC Mar 2021 E           | 100,000,000  | 2020/05/11 | 2021/03/30 | 25.00          |
| 68185    | SG Issuer - CSOP A50 ETF R Bull CBBC Apr 2021 A           | 100,000,000  | 2020/05/11 | 2021/04/29 | 25.00          |
| 68234    | SG Issuer - CSOP A50 ETF R Bear CBBC Oct 2020 A           | 100,000,000  | 2020/05/11 | 2020/10/30 | 25.00          |
| 68236    | SG Issuer - CSOP A50 ETF R Bear CBBC Oct 2020 B           | 100,000,000  | 2020/05/11 | 2020/10/30 | 25.00          |
| 68157    | SG Issuer - Galaxy Ent R Bull CBBC Dec 2020 O             | 100,000,000  | 2020/05/11 | 2020/12/30 | 25.00          |
| 68188    | SG Issuer - HSI R Bull CBBC Feb 2023 T                    | 250,000,000  | 2020/05/11 | 2023/02/27 | 62.50          |
| 68280    | SG Issuer - HSI R Bull CBBC Apr 2023 C                    | 250,000,000  | 2020/05/11 | 2023/04/27 | 62.50          |
| 68189    | SG Issuer - HSI R Bull CBBC Apr 2023 W                    | 250,000,000  | 2020/05/11 | 2023/04/27 | 62.50          |
| 68190    | SG Issuer - HSI R Bull CBBC Apr 2023 X                    | 500,000,000  | 2020/05/11 | 2023/04/27 | 125.00         |
| 68191    | SG Issuer - HSI R Bull CBBC Apr 2023 Y                    | 250,000,000  | 2020/05/11 | 2023/04/27 | 62.50          |
| 68192    | SG Issuer - HSI R Bull CBBC Apr 2023 Z                    | 250,000,000  | 2020/05/11 | 2023/04/27 | 62.50          |
| 68196    | SG Issuer - HSI R Bull CBBC May 2023 M                    | 250,000,000  | 2020/05/11 | 2023/05/30 | 62.50          |
| 68197    | SG Issuer - HSI R Bull CBBC May 2023 N                    | 250,000,000  | 2020/05/11 | 2023/05/30 | 62.50          |
| 68201    | SG Issuer - HSI R Bull CBBC May 2023 O                    | 250,000,000  | 2020/05/11 | 2023/05/30 | 62.50          |
| 68238    | SG Issuer - HSI R Bull CBBC May 2023 P                    | 250,000,000  | 2020/05/11 | 2023/05/30 | 62.50          |
| 68245    | SG Issuer - HSI R Bull CBBC May 2023 Q                    | 250,000,000  | 2020/05/11 | 2023/05/30 | 62.50          |
| 68251    | SG Issuer - HSI R Bear CBBC Aug 2020 D                    | 250,000,000  | 2020/05/11 | 2020/08/28 | 62.50          |
| 68252    | SG Issuer - HSI R Bear CBBC Aug 2020 L                    | 250,000,000  | 2020/05/11 | 2020/08/28 | 62.50          |
| 68255    | SG Issuer - HSI R Bear CBBC Aug 2020 V                    | 250,000,000  | 2020/05/11 | 2020/08/28 | 62.50          |
| 68259    | SG Issuer - HSI R Bear CBBC Oct 2020 C                    | 250,000,000  | 2020/05/11 | 2020/10/29 | 62.50          |

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|----------|-----------------------------------------------------|--------------|------------|------------|----------------|
| 68270    | SG Issuer - HSI R Bear CBBC Oct 2020 I              | 250,000,000  | 2020/05/11 | 2020/10/29 | 62.50          |
| 68160    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 U | 100,000,000  | 2020/05/11 | 2020/12/31 | 25.00          |
| 68161    | SG Issuer - Ping An R Bull CBBC Feb 2021 G          | 100,000,000  | 2020/05/11 | 2021/02/25 | 25.00          |
| 68163    | SG Issuer - Sands China R Bull CBBC Mar 2021 A      | 100,000,000  | 2020/05/11 | 2021/03/30 | 25.00          |
| 68164    | SG Issuer - Sands China R Bull CBBC Mar 2021 B      | 100,000,000  | 2020/05/11 | 2021/03/31 | 25.00          |
| 68170    | SG Issuer - Sands China R Bull CBBC Apr 2021 A      | 100,000,000  | 2020/05/11 | 2021/04/29 | 25.00          |
| 68220    | SG Issuer - Sands China R Bear CBBC Dec 2020 A      | 100,000,000  | 2020/05/11 | 2020/12/31 | 25.00          |
| 68228    | SG Issuer - Sands China R Bear CBBC Dec 2020 B      | 100,000,000  | 2020/05/11 | 2020/12/31 | 25.00          |
| 68171    | SG Issuer - Tencent R Bull CBBC Aug 2020 O          | 80,000,000   | 2020/05/11 | 2020/08/31 | 20.00          |
| 68180    | SG Issuer - Tencent R Bull CBBC Sep 2020 F          | 80,000,000   | 2020/05/11 | 2020/09/30 | 20.00          |
| 68181    | SG Issuer - Tencent R Bull CBBC Sep 2020 G          | 80,000,000   | 2020/05/11 | 2020/09/30 | 20.00          |
| 68295    | SG Issuer - Tencent R Bear CBBC Jan 2021 E          | 80,000,000   | 2020/05/11 | 2021/01/28 | 20.00          |
| 67753    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 X       | 80,000,000   | 2020/05/11 | 2020/12/17 | 20.00          |
| 67758    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 G       | 400,000,000  | 2020/05/11 | 2021/02/26 | 100.00         |
| 67796    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 V       | 80,000,000   | 2020/05/11 | 2020/12/07 | 20.00          |
| 67797    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 B       | 400,000,000  | 2020/05/11 | 2021/02/08 | 100.00         |
| 67775    | UBS AG - CSOP A50 ETF R Bull CBBC Jan 2021 A        | 40,000,000   | 2020/05/11 | 2021/01/29 | 10.00          |
| 67779    | UBS AG - CSOP A50 ETF R Bull CBBC Aug 2021 A        | 200,000,000  | 2020/05/11 | 2021/08/31 | 50.00          |
| 67777    | UBS AG - CSOP A50 ETF R Bull CBBC Oct 2021 A        | 200,000,000  | 2020/05/11 | 2021/10/29 | 50.00          |
| 67811    | UBS AG - CSOP A50 ETF R Bear CBBC Aug 2021 A        | 200,000,000  | 2020/05/11 | 2021/08/31 | 50.00          |
| 67737    | UBS AG - HSI R Bull CBBC Mar 2023 C                 | 200,000,000  | 2020/05/11 | 2023/03/30 | 50.00          |
| 67714    | UBS AG - HSI R Bull CBBC Mar 2023 D                 | 200,000,000  | 2020/05/11 | 2023/03/30 | 50.00          |
| 67720    | UBS AG - HSI R Bull CBBC Mar 2023 S                 | 200,000,000  | 2020/05/11 | 2023/03/30 | 50.00          |
| 67722    | UBS AG - HSI R Bull CBBC Mar 2023 T                 | 400,000,000  | 2020/05/11 | 2023/03/30 | 100.00         |
| 67725    | UBS AG - HSI R Bull CBBC Mar 2023 U                 | 200,000,000  | 2020/05/11 | 2023/03/30 | 50.00          |
| 67731    | UBS AG - HSI R Bull CBBC Mar 2023 V                 | 200,000,000  | 2020/05/11 | 2023/03/30 | 50.00          |
| 67716    | UBS AG - HSI R Bull CBBC Mar 2023 Z                 | 200,000,000  | 2020/05/11 | 2023/03/30 | 50.00          |
| 67827    | UBS AG - HSI R Bull CBBC Apr 2023 I                 | 200,000,000  | 2020/05/11 | 2023/04/27 | 50.00          |
| 67843    | UBS AG - HSI R Bull CBBC Apr 2023 J                 | 200,000,000  | 2020/05/11 | 2023/04/27 | 50.00          |
| 67855    | UBS AG - HSI R Bull CBBC Apr 2023 K                 | 200,000,000  | 2020/05/11 | 2023/04/27 | 50.00          |
| 67856    | UBS AG - HSI R Bull CBBC Apr 2023 L                 | 200,000,000  | 2020/05/11 | 2023/04/27 | 50.00          |
| 67858    | UBS AG - HSI R Bull CBBC Apr 2023 M                 | 200,000,000  | 2020/05/11 | 2023/04/27 | 50.00          |
| 67823    | UBS AG - HSI R Bear CBBC Dec 2020 H                 | 400,000,000  | 2020/05/11 | 2020/12/30 | 100.00         |
| 67812    | UBS AG - HSI R Bear CBBC Dec 2020 R                 | 200,000,000  | 2020/05/11 | 2020/12/30 | 50.00          |
| 67814    | UBS AG - HSI R Bear CBBC Dec 2020 T                 | 200,000,000  | 2020/05/11 | 2020/12/30 | 50.00          |
| 67821    | UBS AG - HSI R Bear CBBC Dec 2020 U                 | 200,000,000  | 2020/05/11 | 2020/12/30 | 50.00          |
| 67826    | UBS AG - HSI R Bear CBBC Dec 2020 V                 | 200,000,000  | 2020/05/11 | 2020/12/30 | 50.00          |
| 67783    | UBS AG - Sands China R Bull CBBC Aug 2021 A         | 100,000,000  | 2020/05/11 | 2021/08/31 | 25.00          |
| 67782    | UBS AG - Sands China R Bull CBBC Oct 2021 A         | 100,000,000  | 2020/05/11 | 2021/10/29 | 25.00          |
| 67808    | UBS AG - Sands China R Bear CBBC Feb 2021 A         | 100,000,000  | 2020/05/11 | 2021/02/08 | 25.00          |
| 67806    | UBS AG - SMIC R Bull CBBC May 2021 A                | 100,000,000  | 2020/05/11 | 2021/05/31 | 25.00          |
| 67763    | UBS AG - Tencent R Bull CBBC Nov 2020 U             | 40,000,000   | 2020/05/11 | 2020/11/23 | 10.00          |
| 67770    | UBS AG - Tencent R Bull CBBC Nov 2020 V             | 40,000,000   | 2020/05/11 | 2020/11/25 | 10.00          |
| 67774    | UBS AG - Tencent R Bull CBBC Nov 2020 W             | 40,000,000   | 2020/05/11 | 2020/11/17 | 10.00          |
| 67786    | UBS AG - Tencent R Bear CBBC Dec 2020 S             | 40,000,000   | 2020/05/11 | 2020/12/07 | 10.00          |

# 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 67789    | UBS AG - Tencent R Bear CBBC Dec 2020 T                  | 200,000,000  | 2020/05/11 | 2020/12/22 | 50.00          |
| 67672    | Bank Vontobel - Alibaba Group R Bear CBBC Jan 2021 A     | 40,000,000   | 2020/05/11 | 2021/01/15 | 10.00          |
| 67673    | Bank Vontobel - CSOP A50 ETF R Bull CBBC Apr 2021 A      | 40,000,000   | 2020/05/11 | 2021/04/16 | 10.00          |
| 67682    | Bank Vontobel - CSOP A50 ETF R Bear CBBC Dec 2020 A      | 40,000,000   | 2020/05/11 | 2020/12/04 | 10.00          |
| 67657    | Bank Vontobel - Geely Auto R Bear CBBC Dec 2020 H        | 40,000,000   | 2020/05/11 | 2020/12/18 | 10.00          |
| 67656    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 E  | 60,000,000   | 2020/05/11 | 2021/01/15 | 15.00          |
| 67658    | Bank Vontobel - Sands China R Bull CBBC Feb 2021 A       | 40,000,000   | 2020/05/11 | 2021/02/19 | 10.00          |
| 67659    | Bank Vontobel - Sands China R Bear CBBC Dec 2020 A       | 40,000,000   | 2020/05/11 | 2020/12/11 | 10.00          |
| 67654    | Bank Vontobel - Tencent R Bull CBBC Dec 2020 E           | 40,000,000   | 2020/05/11 | 2020/12/04 | 10.00          |
| 68533    | BOCI Asia Ltd. - ANTA Sports R Bull CBBC Dec 2020 A      | 40,000,000   | 2020/05/12 | 2020/12/31 | 10.00          |
| 68537    | BOCI Asia Ltd. - ANTA Sports R Bull CBBC Dec 2020 B      | 40,000,000   | 2020/05/12 | 2020/12/31 | 10.00          |
| 68552    | BOCI Asia Ltd. - CSOP A50 ETF R Bull CBBC Dec 2020 D     | 40,000,000   | 2020/05/12 | 2020/12/31 | 10.00          |
| 68513    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 H              | 150,000,000  | 2020/05/12 | 2023/01/30 | 37.50          |
| 68521    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 K              | 150,000,000  | 2020/05/12 | 2020/10/29 | 37.50          |
| 68528    | BOCI Asia Ltd. - ZTE R Bull CBBC Dec 2020 A              | 80,000,000   | 2020/05/12 | 2020/12/31 | 20.00          |
| 68488    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 P   | 140,000,000  | 2020/05/12 | 2022/10/28 | 35.00          |
| 68481    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 E   | 250,000,000  | 2020/05/12 | 2020/12/30 | 62.50          |
| 68491    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 F   | 250,000,000  | 2020/05/12 | 2020/12/30 | 62.50          |
| 68500    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 G   | 250,000,000  | 2020/05/12 | 2020/12/30 | 62.50          |
| 68502    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 H   | 250,000,000  | 2020/05/12 | 2020/12/30 | 62.50          |
| 68622    | Credit Suisse AG - AAC Tech R Bear CBBC Oct 2020 C       | 50,000,000   | 2020/05/12 | 2020/10/29 | 12.50          |
| 68647    | Credit Suisse AG - AIA R Bull CBBC Dec 2020 I            | 70,000,000   | 2020/05/12 | 2020/12/30 | 17.50          |
| 68657    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 N            | 200,000,000  | 2020/05/12 | 2022/11/29 | 50.00          |
| 68658    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 A            | 200,000,000  | 2020/05/12 | 2023/02/27 | 50.00          |
| 68648    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 Z            | 200,000,000  | 2020/05/12 | 2023/02/27 | 50.00          |
| 68581    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 U            | 200,000,000  | 2020/05/12 | 2020/10/29 | 50.00          |
| 68612    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 V            | 200,000,000  | 2020/05/12 | 2020/10/29 | 50.00          |
| 68614    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 W            | 200,000,000  | 2020/05/12 | 2020/10/29 | 50.00          |
| 68553    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 V            | 200,000,000  | 2020/05/12 | 2020/11/27 | 50.00          |
| 68601    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 W            | 200,000,000  | 2020/05/12 | 2020/11/27 | 50.00          |
| 68638    | Credit Suisse AG - Sands China R Bear CBBC Dec 2020 A    | 60,000,000   | 2020/05/12 | 2020/12/31 | 15.00          |
| 68637    | Credit Suisse AG - Tencent R Bear CBBC Sep 2020 G        | 50,000,000   | 2020/05/12 | 2020/09/29 | 12.50          |
| 69044    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Feb 2021 A | 60,000,000   | 2020/05/12 | 2021/02/01 | 15.00          |
| 69046    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Jun 2021 B    | 80,000,000   | 2020/05/12 | 2021/06/30 | 20.00          |
| 69050    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 O     | 160,000,000  | 2020/05/12 | 2023/05/30 | 40.00          |
| 69056    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 P     | 160,000,000  | 2020/05/12 | 2023/05/30 | 40.00          |
| 69073    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 Q     | 160,000,000  | 2020/05/12 | 2023/05/30 | 40.00          |
| 69075    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 R     | 160,000,000  | 2020/05/12 | 2023/05/30 | 40.00          |
| 69076    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 S     | 160,000,000  | 2020/05/12 | 2023/05/30 | 40.00          |
| 69029    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 L     | 160,000,000  | 2020/05/12 | 2020/08/28 | 40.00          |
| 69033    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 N     | 160,000,000  | 2020/05/12 | 2020/08/28 | 40.00          |
| 69085    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 C     | 160,000,000  | 2020/05/12 | 2020/11/27 | 40.00          |
| 69088    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 M     | 160,000,000  | 2020/05/12 | 2020/11/27 | 40.00          |
| 69040    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 S     | 160,000,000  | 2020/05/12 | 2020/12/30 | 40.00          |
| 69080    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 V     | 160,000,000  | 2020/05/12 | 2020/12/30 | 40.00          |



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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 69041    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 R  | 60,000,000   | 2020/05/12 | 2020/10/30 | 15.00          |
| 68441    | HK Bank - AIA R Bear CBBC Oct 2020 B                      | 40,000,000   | 2020/05/12 | 2020/10/19 | 10.00          |
| 68448    | HK Bank - Alibaba Group R Bull CBBC Oct 2020 F            | 40,000,000   | 2020/05/12 | 2020/10/27 | 10.00          |
| 68444    | HK Bank - Alibaba Group R Bear CBBC Oct 2020 B            | 40,000,000   | 2020/05/12 | 2020/10/12 | 10.00          |
| 68422    | HK Bank - HSI R Bull CBBC Sep 2022 V                      | 60,000,000   | 2020/05/12 | 2022/09/29 | 15.00          |
| 68413    | HK Bank - HSI R Bear CBBC Sep 2020 L                      | 100,000,000  | 2020/05/12 | 2020/09/29 | 25.00          |
| 68421    | HK Bank - HSI R Bear CBBC Sep 2020 N                      | 80,000,000   | 2020/05/12 | 2020/09/29 | 20.00          |
| 68424    | HK Bank - SMIC R Bull CBBC Oct 2020 B                     | 40,000,000   | 2020/05/12 | 2020/10/19 | 10.00          |
| 68452    | HK Bank - SMIC R Bear CBBC Nov 2020 A                     | 40,000,000   | 2020/05/12 | 2020/11/30 | 10.00          |
| 68426    | HK Bank - Tencent R Bear CBBC Sep 2020 F                  | 40,000,000   | 2020/05/12 | 2020/09/28 | 10.00          |
| 68453    | HK Bank - ZTE R Bull CBBC Dec 2020 A                      | 40,000,000   | 2020/05/12 | 2020/12/07 | 10.00          |
| 68994    | Haitong Int'l Sec - AIA R Bear CBBC Dec 2020 A            | 40,000,000   | 2020/05/12 | 2020/12/30 | 10.00          |
| 68998    | Haitong Int'l Sec - CC Bank R Bull CBBC May 2021 A        | 40,000,000   | 2020/05/12 | 2021/05/11 | 10.00          |
| 69006    | Haitong Int'l Sec - China Life R Bull CBBC Jun 2021 A     | 40,000,000   | 2020/05/12 | 2021/06/30 | 10.00          |
| 69020    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 H            | 150,000,000  | 2020/05/12 | 2022/10/28 | 37.50          |
| 69012    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 B            | 200,000,000  | 2020/05/12 | 2022/11/29 | 50.00          |
| 68983    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 R            | 150,000,000  | 2020/05/12 | 2020/12/30 | 37.50          |
| 68984    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 O            | 150,000,000  | 2020/05/12 | 2021/01/28 | 37.50          |
| 68993    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 P            | 200,000,000  | 2020/05/12 | 2021/01/28 | 50.00          |
| 68812    | J P Morgan SP BV - HSI R Bull CBBC Feb 2022 A             | 200,000,000  | 2020/05/12 | 2022/02/25 | 50.00          |
| 68802    | J P Morgan SP BV - HSI R Bull CBBC Oct 2022 Z             | 200,000,000  | 2020/05/12 | 2022/10/28 | 50.00          |
| 68800    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 Z             | 200,000,000  | 2020/05/12 | 2023/03/30 | 50.00          |
| 68804    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 A             | 200,000,000  | 2020/05/12 | 2023/04/27 | 50.00          |
| 68817    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 A             | 200,000,000  | 2020/05/12 | 2020/11/27 | 50.00          |
| 68822    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 I             | 200,000,000  | 2020/05/12 | 2020/11/27 | 50.00          |
| 68793    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 W             | 200,000,000  | 2020/05/12 | 2020/11/27 | 50.00          |
| 68798    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 K             | 200,000,000  | 2020/05/12 | 2020/12/30 | 50.00          |
| 68818    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 M             | 240,000,000  | 2020/05/12 | 2020/12/30 | 60.00          |
| 68824    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 R             | 200,000,000  | 2020/05/12 | 2020/12/30 | 50.00          |
| 68834    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 V             | 200,000,000  | 2020/05/12 | 2020/12/30 | 50.00          |
| 68458    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 L | 150,000,000  | 2020/05/12 | 2022/11/29 | 37.50          |
| 68412    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 P | 150,000,000  | 2020/05/12 | 2020/10/29 | 37.50          |
| 68915    | SG Issuer - AAC Tech R Bull CBBC Jan 2021 A               | 100,000,000  | 2020/05/12 | 2021/01/28 | 25.00          |
| 68928    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 T          | 60,000,000   | 2020/05/12 | 2020/10/30 | 15.00          |
| 68967    | SG Issuer - HSI R Bull CBBC Apr 2023 D                    | 250,000,000  | 2020/05/12 | 2023/04/27 | 62.50          |
| 68971    | SG Issuer - HSI R Bull CBBC Apr 2023 E                    | 250,000,000  | 2020/05/12 | 2023/04/27 | 62.50          |
| 68972    | SG Issuer - HSI R Bull CBBC Apr 2023 F                    | 250,000,000  | 2020/05/12 | 2023/04/27 | 62.50          |
| 68933    | SG Issuer - HSI R Bear CBBC Aug 2020 W                    | 250,000,000  | 2020/05/12 | 2020/08/28 | 62.50          |
| 68938    | SG Issuer - HSI R Bear CBBC Oct 2020 E                    | 250,000,000  | 2020/05/12 | 2020/10/29 | 62.50          |
| 68948    | SG Issuer - HSI R Bear CBBC Nov 2020 I                    | 250,000,000  | 2020/05/12 | 2020/11/27 | 62.50          |
| 68949    | SG Issuer - HSI R Bear CBBC Nov 2020 J                    | 250,000,000  | 2020/05/12 | 2020/11/27 | 62.50          |
| 68953    | SG Issuer - HSI R Bear CBBC Nov 2020 N                    | 250,000,000  | 2020/05/12 | 2020/11/27 | 62.50          |
| 68941    | SG Issuer - HSI R Bear CBBC Jan 2021 R                    | 500,000,000  | 2020/05/12 | 2021/01/28 | 125.00         |
| 68943    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 G       | 100,000,000  | 2020/05/12 | 2020/12/30 | 25.00          |
| 68945    | SG Issuer - Tencent R Bull CBBC Aug 2020 A                | 80,000,000   | 2020/05/12 | 2020/08/31 | 20.00          |

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|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 68929    | SG Issuer - Tencent R Bear CBBC Jan 2021 F                 | 80,000,000   | 2020/05/12 | 2021/01/28 | 20.00          |
| 68665    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 Y              | 80,000,000   | 2020/05/12 | 2020/12/21 | 20.00          |
| 68684    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 W              | 80,000,000   | 2020/05/12 | 2020/12/09 | 20.00          |
| 68756    | UBS AG - ANTA Sports R Bull CBBC Dec 2020 A                | 50,000,000   | 2020/05/12 | 2020/12/31 | 12.50          |
| 68792    | UBS AG - CSOP A50 ETF R Bull CBBC Dec 2020 A               | 40,000,000   | 2020/05/12 | 2020/12/31 | 10.00          |
| 68776    | UBS AG - CSOP A50 ETF R Bear CBBC Oct 2020 A               | 40,000,000   | 2020/05/12 | 2020/10/30 | 10.00          |
| 68765    | UBS AG - CSOP A50 ETF R Bear CBBC Sep 2021 A               | 200,000,000  | 2020/05/12 | 2021/09/30 | 50.00          |
| 68688    | UBS AG - HKEX R Bear CBBC Dec 2020 D                       | 200,000,000  | 2020/05/12 | 2020/12/31 | 50.00          |
| 68696    | UBS AG - HSI R Bull CBBC Oct 2022 D                        | 200,000,000  | 2020/05/12 | 2022/10/28 | 50.00          |
| 68699    | UBS AG - HSI R Bull CBBC Oct 2022 N                        | 200,000,000  | 2020/05/12 | 2022/10/28 | 50.00          |
| 68679    | UBS AG - HSI R Bear CBBC Sep 2020 L                        | 200,000,000  | 2020/05/12 | 2020/09/29 | 50.00          |
| 68661    | UBS AG - HSI R Bear CBBC Sep 2020 S                        | 200,000,000  | 2020/05/12 | 2020/09/29 | 50.00          |
| 68663    | UBS AG - HSI R Bear CBBC Sep 2020 W                        | 200,000,000  | 2020/05/12 | 2020/09/29 | 50.00          |
| 68702    | UBS AG - HSI R Bear CBBC Jan 2021 H                        | 200,000,000  | 2020/05/12 | 2021/01/28 | 50.00          |
| 68703    | UBS AG - HSI R Bear CBBC Jan 2021 J                        | 200,000,000  | 2020/05/12 | 2021/01/28 | 50.00          |
| 68705    | UBS AG - HSI R Bear CBBC Jan 2021 K                        | 200,000,000  | 2020/05/12 | 2021/01/28 | 50.00          |
| 68706    | UBS AG - HSI R Bear CBBC Jan 2021 M                        | 200,000,000  | 2020/05/12 | 2021/01/28 | 50.00          |
| 68695    | UBS AG - Meituan Dianping R Bear CBBC May 2021 A           | 150,000,000  | 2020/05/12 | 2021/05/31 | 37.50          |
| 68711    | UBS AG - Sands China R Bull CBBC Sep 2021 A                | 100,000,000  | 2020/05/12 | 2021/09/30 | 25.00          |
| 68736    | UBS AG - SMIC R Bull CBBC Sep 2021 A                       | 100,000,000  | 2020/05/12 | 2021/09/30 | 25.00          |
| 68686    | UBS AG - Tencent R Bull CBBC Nov 2020 X                    | 40,000,000   | 2020/05/12 | 2020/11/26 | 10.00          |
| 68730    | UBS AG - ZTE R Bull CBBC Dec 2020 A                        | 50,000,000   | 2020/05/12 | 2020/12/31 | 12.50          |
| 68896    | Bank Vontobel - AAC Tech R Bull CBBC Mar 2021 A            | 40,000,000   | 2020/05/12 | 2021/03/05 | 10.00          |
| 68897    | Bank Vontobel - AAC Tech R Bull CBBC Mar 2021 B            | 40,000,000   | 2020/05/12 | 2021/03/12 | 10.00          |
| 68886    | Bank Vontobel - HSI R Bull CBBC Dec 2022 H                 | 80,000,000   | 2020/05/12 | 2022/12/29 | 20.00          |
| 68889    | Bank Vontobel - HSI R Bear CBBC Dec 2020 H                 | 80,000,000   | 2020/05/12 | 2020/12/30 | 20.00          |
| 68892    | Bank Vontobel - HSI R Bear CBBC Dec 2020 I                 | 80,000,000   | 2020/05/12 | 2020/12/30 | 20.00          |
| 68882    | Bank Vontobel - Sands China R Bull CBBC Mar 2021 A         | 40,000,000   | 2020/05/12 | 2021/03/12 | 10.00          |
| 68883    | Bank Vontobel - Sands China R Bull CBBC Mar 2021 B         | 40,000,000   | 2020/05/12 | 2021/03/19 | 10.00          |
| 68858    | Bank Vontobel - Sands China R Bear CBBC Dec 2020 B         | 40,000,000   | 2020/05/12 | 2020/12/18 | 10.00          |
| 68912    | Bank Vontobel - Tencent R Bull CBBC Dec 2020 C             | 40,000,000   | 2020/05/12 | 2020/12/18 | 10.00          |
| 68835    | Bank Vontobel - Tencent R Bear CBBC Nov 2020 L             | 40,000,000   | 2020/05/12 | 2020/11/20 | 10.00          |
| 68855    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 S             | 40,000,000   | 2020/05/12 | 2020/12/18 | 10.00          |
| 69405    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 I                | 150,000,000  | 2020/05/13 | 2023/01/30 | 37.50          |
| 69319    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 L                | 150,000,000  | 2020/05/13 | 2020/10/29 | 37.50          |
| 69330    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 N                | 150,000,000  | 2020/05/13 | 2020/10/29 | 37.50          |
| 69406    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 M   | 40,000,000   | 2020/05/13 | 2020/12/30 | 10.00          |
| 69348    | BOCI Asia Ltd. - SMIC R Bull CBBC Jan 2021 A               | 80,000,000   | 2020/05/13 | 2021/01/25 | 20.00          |
| 69402    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 A            | 40,000,000   | 2020/05/13 | 2020/12/30 | 10.00          |
| 69189    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 E | 100,000,000  | 2020/05/13 | 2020/12/30 | 25.00          |
| 69191    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2020 O    | 50,000,000   | 2020/05/13 | 2020/09/29 | 12.50          |
| 69193    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 Q     | 150,000,000  | 2020/05/13 | 2022/10/28 | 37.50          |
| 69196    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 R     | 150,000,000  | 2020/05/13 | 2022/10/28 | 37.50          |
| 69586    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 S     | 150,000,000  | 2020/05/13 | 2022/10/28 | 37.50          |
| 69101    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 I     | 250,000,000  | 2020/05/13 | 2020/12/30 | 62.50          |

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|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 69214    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 J     | 250,000,000  | 2020/05/13 | 2020/12/30 | 62.50          |
| 69216    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 K     | 250,000,000  | 2020/05/13 | 2020/12/30 | 62.50          |
| 69594    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 L     | 250,000,000  | 2020/05/13 | 2020/12/30 | 62.50          |
| 69602    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 M     | 250,000,000  | 2020/05/13 | 2020/12/30 | 62.50          |
| 69616    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 N     | 250,000,000  | 2020/05/13 | 2020/12/30 | 62.50          |
| 69617    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 S     | 240,000,000  | 2020/05/13 | 2020/12/30 | 60.00          |
| 69186    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 J | 50,000,000   | 2020/05/13 | 2020/12/30 | 12.50          |
| 69183    | BNP Paribas Issuance B.V. - Xiaomi R Bull CBBC Nov 2020 U  | 50,000,000   | 2020/05/13 | 2020/11/27 | 12.50          |
| 69765    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 F              | 200,000,000  | 2020/05/13 | 2022/09/29 | 50.00          |
| 69762    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 E              | 200,000,000  | 2020/05/13 | 2022/10/28 | 50.00          |
| 69754    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 D              | 200,000,000  | 2020/05/13 | 2022/11/29 | 50.00          |
| 69755    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 D              | 200,000,000  | 2020/05/13 | 2023/02/27 | 50.00          |
| 69698    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 D              | 200,000,000  | 2020/05/13 | 2020/10/29 | 50.00          |
| 69701    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 E              | 200,000,000  | 2020/05/13 | 2020/10/29 | 50.00          |
| 69676    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Z              | 200,000,000  | 2020/05/13 | 2020/10/29 | 50.00          |
| 69688    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 M              | 200,000,000  | 2020/05/13 | 2020/11/27 | 50.00          |
| 69689    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 O              | 200,000,000  | 2020/05/13 | 2020/11/27 | 50.00          |
| 69673    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 X              | 200,000,000  | 2020/05/13 | 2020/11/27 | 50.00          |
| 69715    | Credit Suisse AG - Meituan Dianping R Bull CBBC Nov 2020 C | 80,000,000   | 2020/05/13 | 2020/11/27 | 20.00          |
| 69703    | Credit Suisse AG - Ping An R Bull CBBC Oct 2020 F          | 80,000,000   | 2020/05/13 | 2020/10/29 | 20.00          |
| 69749    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 A             | 50,000,000   | 2020/05/13 | 2021/01/28 | 12.50          |
| 69731    | Credit Suisse AG - ZTE R Bull CBBC Nov 2020 A              | 50,000,000   | 2020/05/13 | 2020/11/27 | 12.50          |
| 69637    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Mar 2021 G   | 80,000,000   | 2020/05/13 | 2021/03/31 | 20.00          |
| 69651    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 Q       | 160,000,000  | 2020/05/13 | 2023/03/30 | 40.00          |
| 69652    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 S       | 160,000,000  | 2020/05/13 | 2023/04/27 | 40.00          |
| 69656    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 T       | 160,000,000  | 2020/05/13 | 2023/05/30 | 40.00          |
| 69657    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 U       | 160,000,000  | 2020/05/13 | 2023/05/30 | 40.00          |
| 69622    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 Q       | 160,000,000  | 2020/05/13 | 2020/08/28 | 40.00          |
| 69623    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 R       | 160,000,000  | 2020/05/13 | 2020/08/28 | 40.00          |
| 69624    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2020 Q       | 160,000,000  | 2020/05/13 | 2020/11/27 | 40.00          |
| 69659    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 W       | 160,000,000  | 2020/05/13 | 2021/01/28 | 40.00          |
| 69661    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 X       | 160,000,000  | 2020/05/13 | 2021/01/28 | 40.00          |
| 69666    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 Y       | 160,000,000  | 2020/05/13 | 2021/01/28 | 40.00          |
| 69627    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 D   | 60,000,000   | 2020/05/13 | 2020/10/30 | 15.00          |
| 69631    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Dec 2020 D   | 60,000,000   | 2020/05/13 | 2020/12/30 | 15.00          |
| 69632    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 S   | 60,000,000   | 2020/05/13 | 2020/10/30 | 15.00          |
| 69636    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 T   | 60,000,000   | 2020/05/13 | 2020/10/30 | 15.00          |
| 69626    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Oct 2020 B    | 80,000,000   | 2020/05/13 | 2020/10/30 | 20.00          |
| 69148    | HK Bank - Alibaba Group R Bull CBBC Dec 2020 B             | 100,000,000  | 2020/05/13 | 2020/12/14 | 25.00          |
| 69142    | HK Bank - ANTA Sports R Bull CBBC Nov 2020 B               | 40,000,000   | 2020/05/13 | 2020/11/09 | 10.00          |
| 69140    | HK Bank - CSOP A50 ETF R Bull CBBC Jan 2021 C              | 40,000,000   | 2020/05/13 | 2021/01/04 | 10.00          |
| 69171    | HK Bank - HSI R Bull CBBC Sep 2022 W                       | 60,000,000   | 2020/05/13 | 2022/09/29 | 15.00          |
| 69104    | HK Bank - HSI R Bear CBBC Sep 2020 O                       | 60,000,000   | 2020/05/13 | 2020/09/29 | 15.00          |
| 69119    | HK Bank - HSI R Bear CBBC Sep 2020 P                       | 60,000,000   | 2020/05/13 | 2020/09/29 | 15.00          |
| 69167    | HK Bank - Meituan Dianping R Bull CBBC Oct 2020 C          | 40,000,000   | 2020/05/13 | 2020/10/19 | 10.00          |

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| 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 69170    | HK Bank - Sands China R Bull CBBC Oct 2020 A                 | 40,000,000   | 2020/05/13 | 2020/10/19 | 10.00          |
| 69137    | HK Bank - SMIC R Bull CBBC Nov 2020 A                        | 40,000,000   | 2020/05/13 | 2020/11/02 | 10.00          |
| 69128    | HK Bank - SMIC R Bear CBBC Nov 2020 B                        | 40,000,000   | 2020/05/13 | 2020/11/09 | 10.00          |
| 69169    | HK Bank - Xiaomi R Bull CBBC Sep 2020 D                      | 60,000,000   | 2020/05/13 | 2020/09/28 | 15.00          |
| 69168    | HK Bank - Xiaomi R Bull CBBC Nov 2020 A                      | 60,000,000   | 2020/05/13 | 2020/11/09 | 15.00          |
| 69456    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Sep 2020 C     | 40,000,000   | 2020/05/13 | 2020/09/30 | 10.00          |
| 69459    | Haitong Int'l Sec - CSOP A50 ETF R Bull CBBC Dec 2020 B      | 40,000,000   | 2020/05/13 | 2020/12/30 | 10.00          |
| 69461    | Haitong Int'l Sec - CSOP A50 ETF R Bear CBBC Oct 2020 A      | 40,000,000   | 2020/05/13 | 2020/10/30 | 10.00          |
| 69430    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 C               | 150,000,000  | 2020/05/13 | 2022/11/29 | 37.50          |
| 69431    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 G               | 200,000,000  | 2020/05/13 | 2023/03/30 | 50.00          |
| 69410    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 S               | 200,000,000  | 2020/05/13 | 2020/12/30 | 50.00          |
| 69424    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 T               | 150,000,000  | 2020/05/13 | 2020/12/30 | 37.50          |
| 69428    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 U               | 200,000,000  | 2020/05/13 | 2020/12/30 | 50.00          |
| 69444    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Dec 2020 C  | 40,000,000   | 2020/05/13 | 2020/12/11 | 10.00          |
| 69434    | Haitong Int'l Sec - Tencent R Bull CBBC Sep 2020 Z           | 40,000,000   | 2020/05/13 | 2020/09/30 | 10.00          |
| 69368    | J P Morgan SP BV - Alibaba Group R Bull CBBC Sep 2020 D      | 80,000,000   | 2020/05/13 | 2020/09/11 | 20.00          |
| 69369    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 V                | 200,000,000  | 2020/05/13 | 2023/02/27 | 50.00          |
| 69376    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 B                | 200,000,000  | 2020/05/13 | 2023/04/27 | 50.00          |
| 69387    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 F                | 200,000,000  | 2020/05/13 | 2020/11/27 | 50.00          |
| 69359    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 L                | 200,000,000  | 2020/05/13 | 2020/11/27 | 50.00          |
| 69381    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 X                | 200,000,000  | 2020/05/13 | 2020/11/27 | 50.00          |
| 69360    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 X                | 200,000,000  | 2020/05/13 | 2020/12/30 | 50.00          |
| 69386    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 Y                | 240,000,000  | 2020/05/13 | 2020/12/30 | 60.00          |
| 69366    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Sep 2020 C   | 80,000,000   | 2020/05/13 | 2020/09/11 | 20.00          |
| 69388    | J P Morgan SP BV - Tencent R Bull CBBC Oct 2020 A            | 50,000,000   | 2020/05/13 | 2020/10/09 | 12.50          |
| 69389    | J P Morgan SP BV - Tencent R Bear CBBC Oct 2020 A            | 50,000,000   | 2020/05/13 | 2020/10/16 | 12.50          |
| 69391    | J P Morgan SP BV - Tencent R Bear CBBC Nov 2020 A            | 50,000,000   | 2020/05/13 | 2020/11/13 | 22.75          |
| 69394    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 E    | 150,000,000  | 2020/05/13 | 2023/02/27 | 37.50          |
| 69178    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 S    | 150,000,000  | 2020/05/13 | 2020/09/29 | 37.50          |
| 69400    | Morgan Stanley Asia Products - Tencent R Bull CBBC Sep2020 E | 40,000,000   | 2020/05/13 | 2020/09/14 | 10.00          |
| 69396    | Morgan Stanley Asia Products - Tencent R Bear CBBC Jan2021 E | 40,000,000   | 2020/05/13 | 2021/01/04 | 10.00          |
| 69547    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 N             | 60,000,000   | 2020/05/13 | 2020/12/30 | 15.00          |
| 69539    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 W             | 60,000,000   | 2020/05/13 | 2020/11/27 | 15.00          |
| 69551    | SG Issuer - Geely Auto R Bull CBBC Dec 2020 E                | 40,000,000   | 2020/05/13 | 2020/12/30 | 10.00          |
| 69548    | SG Issuer - Galaxy Ent R Bull CBBC Dec 2020 P                | 100,000,000  | 2020/05/13 | 2020/12/30 | 25.00          |
| 69558    | SG Issuer - HSI R Bull CBBC Oct 2022 M                       | 250,000,000  | 2020/05/13 | 2022/10/28 | 62.50          |
| 69563    | SG Issuer - HSI R Bull CBBC Jan 2023 W                       | 500,000,000  | 2020/05/13 | 2023/01/30 | 125.00         |
| 69565    | SG Issuer - HSI R Bull CBBC Jan 2023 X                       | 250,000,000  | 2020/05/13 | 2023/01/30 | 62.50          |
| 69570    | SG Issuer - HSI R Bull CBBC Jan 2023 Y                       | 250,000,000  | 2020/05/13 | 2023/01/30 | 62.50          |
| 69574    | SG Issuer - HSI R Bull CBBC May 2023 R                       | 250,000,000  | 2020/05/13 | 2023/05/30 | 62.50          |
| 69510    | SG Issuer - HSI R Bear CBBC Aug 2020 X                       | 250,000,000  | 2020/05/13 | 2020/08/28 | 62.50          |
| 69515    | SG Issuer - HSI R Bear CBBC Sep 2020 B                       | 250,000,000  | 2020/05/13 | 2020/09/29 | 62.50          |
| 69520    | SG Issuer - HSI R Bear CBBC Oct 2020 F                       | 500,000,000  | 2020/05/13 | 2020/10/29 | 125.00         |
| 69530    | SG Issuer - HSI R Bear CBBC Oct 2020 X                       | 250,000,000  | 2020/05/13 | 2020/10/29 | 62.50          |
| 69538    | SG Issuer - HSI R Bear CBBC Nov 2020 Q                       | 250,000,000  | 2020/05/13 | 2020/11/27 | 62.50          |

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| 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 69546    | SG Issuer - Meituan Dianping R Bear CBBC Nov 2020 D        | 100,000,000  | 2020/05/13 | 2020/11/27 | 25.00          |
| 69556    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 H        | 100,000,000  | 2020/05/13 | 2020/12/30 | 25.00          |
| 69584    | SG Issuer - Tencent R Bull CBBC Nov 2020 G                 | 80,000,000   | 2020/05/13 | 2020/11/30 | 20.00          |
| 69541    | SG Issuer - Tencent R Bear CBBC Feb 2021 P                 | 80,000,000   | 2020/05/13 | 2021/02/26 | 20.00          |
| 69299    | UBS AG - HSI R Bull CBBC Sep 2022 H                        | 200,000,000  | 2020/05/13 | 2022/09/29 | 50.00          |
| 69311    | UBS AG - HSI R Bull CBBC Sep 2022 P                        | 200,000,000  | 2020/05/13 | 2022/09/29 | 50.00          |
| 69307    | UBS AG - HSI R Bull CBBC Sep 2022 S                        | 200,000,000  | 2020/05/13 | 2022/09/29 | 50.00          |
| 69312    | UBS AG - HSI R Bear CBBC Sep 2020 O                        | 200,000,000  | 2020/05/13 | 2020/09/29 | 50.00          |
| 69316    | UBS AG - HSI R Bear CBBC Sep 2020 R                        | 200,000,000  | 2020/05/13 | 2020/09/29 | 50.00          |
| 69219    | UBS AG - HSI R Bear CBBC Oct 2020 S                        | 200,000,000  | 2020/05/13 | 2020/10/29 | 50.00          |
| 69229    | UBS AG - HSI R Bear CBBC Oct 2020 T                        | 200,000,000  | 2020/05/13 | 2020/10/29 | 50.00          |
| 69233    | UBS AG - HSI R Bear CBBC Oct 2020 W                        | 200,000,000  | 2020/05/13 | 2020/10/29 | 50.00          |
| 69257    | UBS AG - HSI R Bear CBBC Jan 2021 N                        | 200,000,000  | 2020/05/13 | 2021/01/28 | 50.00          |
| 69293    | UBS AG - Meituan Dianping R Bull CBBC Jan 2021 A           | 50,000,000   | 2020/05/13 | 2021/01/28 | 12.50          |
| 69239    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 P           | 50,000,000   | 2020/05/13 | 2020/12/22 | 12.50          |
| 69245    | UBS AG - Meituan Dianping R Bear CBBC Jan 2021 A           | 50,000,000   | 2020/05/13 | 2021/01/28 | 12.50          |
| 69281    | UBS AG - SMIC R Bull CBBC Aug 2021 A                       | 100,000,000  | 2020/05/13 | 2021/08/31 | 25.00          |
| 69254    | UBS AG - SMIC R Bear CBBC May 2021 A                       | 60,000,000   | 2020/05/13 | 2021/05/31 | 15.00          |
| 69248    | UBS AG - Tencent R Bear CBBC Dec 2020 U                    | 40,000,000   | 2020/05/13 | 2020/12/14 | 10.00          |
| 69258    | UBS AG - Tencent R Bear CBBC Dec 2020 V                    | 200,000,000  | 2020/05/13 | 2020/12/28 | 50.00          |
| 69259    | UBS AG - Xiaomi R Bull CBBC Jan 2021 A                     | 60,000,000   | 2020/05/13 | 2021/01/28 | 15.00          |
| 69261    | UBS AG - Xiaomi R Bull CBBC Jan 2021 B                     | 60,000,000   | 2020/05/13 | 2021/01/25 | 15.00          |
| 69251    | UBS AG - Xiaomi R Bear CBBC Dec 2020 H                     | 60,000,000   | 2020/05/13 | 2020/12/08 | 15.00          |
| 69283    | UBS AG - ZTE R Bull CBBC Jan 2021 A                        | 60,000,000   | 2020/05/13 | 2021/01/28 | 15.00          |
| 69471    | Bank Vontobel - AIA R Bull CBBC Dec 2020 I                 | 40,000,000   | 2020/05/13 | 2020/12/18 | 10.00          |
| 69480    | Bank Vontobel - Geely Auto R Bull CBBC Dec 2020 F          | 40,000,000   | 2020/05/13 | 2020/12/11 | 10.00          |
| 69508    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 V    | 60,000,000   | 2020/05/13 | 2020/12/18 | 15.00          |
| 69465    | Bank Vontobel - Sunny Optical R Bull CBBC Dec 2020 L       | 40,000,000   | 2020/05/13 | 2020/12/11 | 10.00          |
| 69466    | Bank Vontobel - Tencent R Bull CBBC Oct 2020 G             | 40,000,000   | 2020/05/13 | 2020/10/23 | 10.00          |
| 69501    | Bank Vontobel - Xiaomi R Bull CBBC Dec 2020 S              | 40,000,000   | 2020/05/13 | 2020/12/11 | 10.00          |
| 50591    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 J                | 150,000,000  | 2020/05/14 | 2023/01/30 | 37.50          |
| 50614    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 P                | 150,000,000  | 2020/05/14 | 2020/10/29 | 37.50          |
| 69974    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 T     | 150,000,000  | 2020/05/14 | 2022/10/28 | 37.50          |
| 69982    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 U     | 150,000,000  | 2020/05/14 | 2022/10/28 | 37.50          |
| 69986    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 V     | 150,000,000  | 2020/05/14 | 2022/10/28 | 37.50          |
| 69992    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 D     | 250,000,000  | 2020/05/14 | 2020/11/27 | 62.50          |
| 69852    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 T     | 250,000,000  | 2020/05/14 | 2020/11/27 | 62.50          |
| 50074    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 R              | 200,000,000  | 2020/05/14 | 2022/12/29 | 50.00          |
| 69995    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 B              | 200,000,000  | 2020/05/14 | 2023/02/27 | 50.00          |
| 50103    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 C              | 200,000,000  | 2020/05/14 | 2023/02/27 | 50.00          |
| 50104    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 F              | 200,000,000  | 2020/05/14 | 2020/10/29 | 50.00          |
| 50136    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 G              | 200,000,000  | 2020/05/14 | 2020/10/29 | 50.00          |
| 50486    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Y              | 200,000,000  | 2020/05/14 | 2020/10/29 | 50.00          |
| 50462    | Credit Suisse AG - Meituan Dianping R Bull CBBC Sep 2020 E | 80,000,000   | 2020/05/14 | 2020/09/29 | 20.00          |
| 50304    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 B             | 50,000,000   | 2020/05/14 | 2021/01/28 | 12.50          |

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| 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 50389    | Credit Suisse AG - SMIC R Bull CBBC Mar 2021 A              | 50,000,000   | 2020/05/14 | 2021/03/30 | 12.50          |
| 50445    | Credit Suisse AG - Sunny Optical R Bull CBBC Oct 2020 D     | 40,000,000   | 2020/05/14 | 2020/10/29 | 10.00          |
| 51848    | Goldman Sachs SP (Asia) - Galaxy Ent R Bear CBBC Jun 2021 A | 60,000,000   | 2020/05/14 | 2021/06/30 | 15.00          |
| 51920    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 G        | 160,000,000  | 2020/05/14 | 2023/02/27 | 40.00          |
| 51847    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 U        | 160,000,000  | 2020/05/14 | 2023/02/27 | 40.00          |
| 51938    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 Z        | 160,000,000  | 2020/05/14 | 2023/02/27 | 40.00          |
| 51919    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 T        | 160,000,000  | 2020/05/14 | 2023/04/27 | 40.00          |
| 51861    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 V        | 160,000,000  | 2020/05/14 | 2020/08/28 | 40.00          |
| 51884    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 A        | 160,000,000  | 2020/05/14 | 2021/01/28 | 40.00          |
| 51918    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 F        | 160,000,000  | 2020/05/14 | 2021/01/28 | 40.00          |
| 51882    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 Z        | 160,000,000  | 2020/05/14 | 2021/01/28 | 40.00          |
| 51860    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 U    | 60,000,000   | 2020/05/14 | 2020/10/30 | 15.00          |
| 69771    | HK Bank - Alibaba Group R Bull CBBC Sep 2020 M              | 40,000,000   | 2020/05/14 | 2020/09/28 | 10.00          |
| 69817    | HK Bank - CM Bank R Bull CBBC Oct 2020 A                    | 40,000,000   | 2020/05/14 | 2020/10/12 | 10.00          |
| 69845    | HK Bank - HKEX R Bear CBBC Sep 2020 D                       | 40,000,000   | 2020/05/14 | 2020/09/21 | 10.00          |
| 69766    | HK Bank - HSI R Bull CBBC Sep 2022 D                        | 60,000,000   | 2020/05/14 | 2022/09/29 | 15.00          |
| 69784    | HK Bank - HSI R Bull CBBC Sep 2022 J                        | 100,000,000  | 2020/05/14 | 2022/09/29 | 25.00          |
| 69785    | HK Bank - HSI R Bear CBBC Sep 2020 R                        | 100,000,000  | 2020/05/14 | 2020/09/29 | 25.00          |
| 69829    | HK Bank - Meituan Dianping R Bull CBBC Sep 2020 D           | 40,000,000   | 2020/05/14 | 2020/09/28 | 10.00          |
| 69826    | HK Bank - SMIC R Bull CBBC Sep 2020 A                       | 40,000,000   | 2020/05/14 | 2020/09/28 | 10.00          |
| 69805    | HK Bank - SMIC R Bull CBBC Nov 2020 B                       | 40,000,000   | 2020/05/14 | 2020/11/09 | 10.40          |
| 69768    | HK Bank - Tencent R Bull CBBC Nov 2020 A                    | 40,000,000   | 2020/05/14 | 2020/11/02 | 10.00          |
| 69800    | HK Bank - ZTE R Bull CBBC Nov 2020 B                        | 40,000,000   | 2020/05/14 | 2020/11/16 | 10.00          |
| 51794    | Haitong Int'l Sec - Alibaba Group R Bear CBBC Sep 2020 C    | 40,000,000   | 2020/05/14 | 2020/09/30 | 10.00          |
| 51676    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 S              | 150,000,000  | 2020/05/14 | 2022/10/28 | 37.50          |
| 51746    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 Y              | 200,000,000  | 2020/05/14 | 2022/11/29 | 50.00          |
| 51733    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 V              | 200,000,000  | 2020/05/14 | 2020/09/29 | 50.00          |
| 51734    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 V              | 300,000,000  | 2020/05/14 | 2020/12/30 | 75.00          |
| 51788    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Dec 2020 D | 40,000,000   | 2020/05/14 | 2020/12/11 | 10.00          |
| 51747    | Haitong Int'l Sec - Tencent R Bear CBBC Sep 2020 T          | 40,000,000   | 2020/05/14 | 2020/09/30 | 10.00          |
| 50773    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 P               | 200,000,000  | 2020/05/14 | 2023/01/30 | 50.00          |
| 50658    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 E               | 200,000,000  | 2020/05/14 | 2023/02/27 | 50.00          |
| 50657    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 A               | 200,000,000  | 2020/05/14 | 2023/03/30 | 50.00          |
| 50638    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 C               | 200,000,000  | 2020/05/14 | 2023/04/27 | 50.00          |
| 50733    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 D               | 200,000,000  | 2020/05/14 | 2023/04/27 | 50.00          |
| 50794    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 C               | 200,000,000  | 2020/05/14 | 2020/11/27 | 50.00          |
| 50826    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 A               | 200,000,000  | 2020/05/14 | 2020/12/30 | 50.00          |
| 50659    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 Z               | 200,000,000  | 2020/05/14 | 2020/12/30 | 50.00          |
| 50854    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 B               | 240,000,000  | 2020/05/14 | 2021/01/28 | 60.00          |
| 50726    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Nov 2020 A  | 80,000,000   | 2020/05/14 | 2020/11/13 | 20.00          |
| 51795    | Macquarie Bank Ltd. - Tencent R Bull CBBC Aug 2020 A        | 13,700,000   | 2020/05/14 | 2020/08/31 | 10.00          |
| 51806    | Macquarie Bank Ltd. - Tencent R Bull CBBC Aug 2020 B        | 12,300,000   | 2020/05/14 | 2020/08/31 | 10.01          |
| 51839    | Macquarie Bank Ltd. - Tencent R Bear CBBC Aug 2020 A        | 10,400,000   | 2020/05/14 | 2020/08/31 | 10.11          |
| 69880    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 F   | 150,000,000  | 2020/05/14 | 2023/02/27 | 37.50          |
| 69858    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 V   | 150,000,000  | 2020/05/14 | 2020/08/28 | 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) |
|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 69856    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 T | 150,000,000  | 2020/05/14 | 2020/09/29 | 37.50          |
| 69877    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 U | 150,000,000  | 2020/05/14 | 2020/09/29 | 37.50          |
| 69857    | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 F | 200,000,000  | 2020/05/14 | 2020/12/30 | 50.00          |
| 51510    | SG Issuer - AIA R Bull CBBC Oct 2020 G                    | 60,000,000   | 2020/05/14 | 2020/10/28 | 15.00          |
| 51351    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 W          | 60,000,000   | 2020/05/14 | 2020/09/30 | 15.00          |
| 51604    | SG Issuer - HKEX R Bull CBBC Oct 2020 N                   | 50,000,000   | 2020/05/14 | 2020/10/28 | 12.50          |
| 51605    | SG Issuer - HSI R Bull CBBC Feb 2023 R                    | 250,000,000  | 2020/05/14 | 2023/02/27 | 62.50          |
| 51491    | SG Issuer - HSI R Bull CBBC Apr 2023 G                    | 250,000,000  | 2020/05/14 | 2023/04/27 | 62.50          |
| 51494    | SG Issuer - HSI R Bull CBBC May 2023 S                    | 250,000,000  | 2020/05/14 | 2023/05/30 | 62.50          |
| 51509    | SG Issuer - HSI R Bull CBBC May 2023 T                    | 250,000,000  | 2020/05/14 | 2023/05/30 | 62.50          |
| 51606    | SG Issuer - HSI R Bear CBBC Dec 2020 J                    | 250,000,000  | 2020/05/14 | 2020/12/30 | 62.50          |
| 51634    | SG Issuer - HSI R Bear CBBC Dec 2020 K                    | 250,000,000  | 2020/05/14 | 2020/12/30 | 62.50          |
| 51668    | SG Issuer - HSI R Bear CBBC Dec 2020 L                    | 250,000,000  | 2020/05/14 | 2020/12/30 | 62.50          |
| 51671    | SG Issuer - HSI R Bear CBBC Jan 2021 S                    | 250,000,000  | 2020/05/14 | 2021/01/28 | 62.50          |
| 51672    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 V       | 100,000,000  | 2020/05/14 | 2020/12/30 | 25.00          |
| 51674    | SG Issuer - Ping An R Bull CBBC Dec 2020 Z                | 100,000,000  | 2020/05/14 | 2020/12/30 | 25.00          |
| 51401    | SG Issuer - Sunny Optical R Bull CBBC Dec 2020 P          | 60,000,000   | 2020/05/14 | 2020/12/30 | 15.00          |
| 51402    | SG Issuer - Tencent R Bull CBBC Sep 2020 H                | 80,000,000   | 2020/05/14 | 2020/09/30 | 20.00          |
| 51675    | SG Issuer - Tencent R Bear CBBC Nov 2020 G                | 80,000,000   | 2020/05/14 | 2020/11/27 | 20.00          |
| 51448    | SG Issuer - Xiaomi R Bull CBBC Nov 2020 D                 | 60,000,000   | 2020/05/14 | 2020/11/30 | 15.00          |
| 51490    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 F                 | 60,000,000   | 2020/05/14 | 2020/12/30 | 15.00          |
| 69972    | UBS AG - Geely Auto R Bull CBBC Dec 2020 G                | 40,000,000   | 2020/05/14 | 2020/12/07 | 10.00          |
| 69961    | UBS AG - Geely Auto R Bear CBBC Dec 2020 D                | 40,000,000   | 2020/05/14 | 2020/12/07 | 10.00          |
| 69973    | UBS AG - HKEX R Bear CBBC Jan 2021 B                      | 200,000,000  | 2020/05/14 | 2021/01/25 | 50.00          |
| 69884    | UBS AG - HSI R Bull CBBC Sep 2022 Q                       | 200,000,000  | 2020/05/14 | 2022/09/29 | 50.00          |
| 69947    | UBS AG - HSI R Bull CBBC Feb 2023 O                       | 200,000,000  | 2020/05/14 | 2023/02/27 | 50.00          |
| 69948    | UBS AG - HSI R Bull CBBC Feb 2023 U                       | 200,000,000  | 2020/05/14 | 2023/02/27 | 50.00          |
| 69952    | UBS AG - HSI R Bull CBBC Feb 2023 V                       | 200,000,000  | 2020/05/14 | 2023/02/27 | 50.00          |
| 69922    | UBS AG - HSI R Bull CBBC Feb 2023 Y                       | 200,000,000  | 2020/05/14 | 2023/02/27 | 50.00          |
| 69888    | UBS AG - HSI R Bear CBBC Oct 2020 E                       | 200,000,000  | 2020/05/14 | 2020/10/29 | 50.00          |
| 69889    | UBS AG - HSI R Bear CBBC Oct 2020 I                       | 200,000,000  | 2020/05/14 | 2020/10/29 | 50.00          |
| 69919    | UBS AG - HSI R Bear CBBC Jan 2021 O                       | 200,000,000  | 2020/05/14 | 2021/01/28 | 50.00          |
| 69953    | UBS AG - HSI R Bear CBBC Jan 2021 P                       | 200,000,000  | 2020/05/14 | 2021/01/28 | 50.00          |
| 69904    | UBS AG - HSI R Bear CBBC Mar 2021 B                       | 400,000,000  | 2020/05/14 | 2021/03/30 | 100.00         |
| 69958    | UBS AG - Sunny Optical R Bull CBBC Dec 2020 J             | 30,000,000   | 2020/05/14 | 2020/12/07 | 10.20          |
| 69906    | UBS AG - Tencent R Bull CBBC Jan 2021 I                   | 200,000,000  | 2020/05/14 | 2021/01/18 | 50.00          |
| 69907    | UBS AG - Xiaomi R Bear CBBC Mar 2021 A                    | 200,000,000  | 2020/05/14 | 2021/03/31 | 50.00          |
| 51343    | Bank Vontobel - HSI R Bear CBBC Dec 2020 J                | 80,000,000   | 2020/05/14 | 2020/12/30 | 20.00          |
| 51212    | Bank Vontobel - Meituan Dianping R Bear CBBC Dec 2020 T   | 60,000,000   | 2020/05/14 | 2020/12/18 | 15.00          |
| 50992    | Bank Vontobel - Tencent R Bull CBBC Nov 2020 S            | 40,000,000   | 2020/05/14 | 2020/11/13 | 10.00          |
| 52047    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 G     | 60,000,000   | 2020/05/15 | 2020/12/31 | 15.00          |
| 52052    | BOCI Asia Ltd. - HKEX R Bear CBBC Oct 2020 A              | 40,000,000   | 2020/05/15 | 2020/10/30 | 10.00          |
| 54774    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 K               | 150,000,000  | 2020/05/15 | 2023/01/30 | 37.50          |
| 52042    | BOCI Asia Ltd. - Ping An R Bull CBBC Sep 2020 M           | 100,000,000  | 2020/05/15 | 2020/09/29 | 25.00          |
| 54560    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 B           | 40,000,000   | 2020/05/15 | 2020/12/30 | 10.00          |

# 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 52025    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 W   | 150,000,000  | 2020/05/15 | 2022/10/28 | 37.50          |
| 52026    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 X   | 150,000,000  | 2020/05/15 | 2022/10/28 | 37.50          |
| 52041    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 Y   | 150,000,000  | 2020/05/15 | 2022/10/28 | 37.50          |
| 52076    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 W   | 240,000,000  | 2020/05/15 | 2020/12/30 | 60.00          |
| 55913    | Credit Suisse AG - Alibaba Group R Bull CBBC Aug 2020 F  | 50,000,000   | 2020/05/15 | 2020/08/28 | 12.50          |
| 55774    | Credit Suisse AG - CSOP A50 ETF R Bull CBBC Feb 2021 A   | 50,000,000   | 2020/05/15 | 2021/02/25 | 12.50          |
| 55818    | Credit Suisse AG - Geely Auto R Bull CBBC Sep 2020 F     | 40,000,000   | 2020/05/15 | 2020/09/29 | 10.00          |
| 55777    | Credit Suisse AG - Galaxy Ent R Bull CBBC Oct 2020 H     | 80,000,000   | 2020/05/15 | 2020/10/29 | 20.00          |
| 55973    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 C            | 200,000,000  | 2020/05/15 | 2023/01/30 | 50.00          |
| 55966    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 F            | 200,000,000  | 2020/05/15 | 2023/01/30 | 50.00          |
| 56002    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 A            | 200,000,000  | 2020/05/15 | 2023/03/30 | 50.00          |
| 55644    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 A            | 200,000,000  | 2020/05/15 | 2020/10/29 | 50.00          |
| 55759    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 H            | 200,000,000  | 2020/05/15 | 2020/10/29 | 50.00          |
| 55550    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 F            | 200,000,000  | 2020/05/15 | 2020/11/27 | 50.00          |
| 55959    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 G            | 200,000,000  | 2020/05/15 | 2020/11/27 | 50.00          |
| 55882    | Credit Suisse AG - Sands China R Bull CBBC Mar 2021 A    | 60,000,000   | 2020/05/15 | 2021/03/30 | 15.00          |
| 55852    | Credit Suisse AG - Tencent R Bull CBBC Sep 2020 N        | 50,000,000   | 2020/05/15 | 2020/09/29 | 12.50          |
| 55937    | Credit Suisse AG - Xiaomi R Bull CBBC Oct 2020 D         | 50,000,000   | 2020/05/15 | 2020/10/29 | 12.50          |
| 57432    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Feb 2021 B | 60,000,000   | 2020/05/15 | 2021/02/01 | 15.00          |
| 56982    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 I     | 160,000,000  | 2020/05/15 | 2023/02/27 | 40.00          |
| 56993    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 L     | 160,000,000  | 2020/05/15 | 2023/02/27 | 40.00          |
| 57052    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 U     | 160,000,000  | 2020/05/15 | 2023/04/27 | 40.00          |
| 57189    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 B     | 160,000,000  | 2020/05/15 | 2021/01/28 | 40.00          |
| 56767    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 G     | 160,000,000  | 2020/05/15 | 2021/01/28 | 40.00          |
| 56862    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 H     | 160,000,000  | 2020/05/15 | 2021/01/28 | 40.00          |
| 56931    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 I     | 160,000,000  | 2020/05/15 | 2021/01/28 | 40.00          |
| 57181    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 J     | 160,000,000  | 2020/05/15 | 2021/01/28 | 40.00          |
| 57378    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 E | 60,000,000   | 2020/05/15 | 2020/10/30 | 15.00          |
| 57383    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 V | 60,000,000   | 2020/05/15 | 2020/10/30 | 15.00          |
| 57431    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 W | 60,000,000   | 2020/05/15 | 2020/10/30 | 15.00          |
| 57382    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Jun 2021 B | 80,000,000   | 2020/05/15 | 2021/06/01 | 20.00          |
| 57266    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Oct 2020 C  | 80,000,000   | 2020/05/15 | 2020/10/30 | 20.00          |
| 51967    | HK Bank - AAC Tech R Bull CBBC Dec 2020 A                | 40,000,000   | 2020/05/15 | 2020/12/21 | 10.00          |
| 51953    | HK Bank - CSOP A50 ETF R Bull CBBC Feb 2021 A            | 40,000,000   | 2020/05/15 | 2021/02/01 | 10.00          |
| 51966    | HK Bank - Geely Auto R Bull CBBC Oct 2020 C              | 40,000,000   | 2020/05/15 | 2020/10/19 | 10.00          |
| 51969    | HK Bank - Galaxy Ent R Bull CBBC Nov 2020 F              | 60,000,000   | 2020/05/15 | 2020/11/19 | 15.00          |
| 51975    | HK Bank - Galaxy Ent R Bear CBBC Nov 2020 A              | 40,000,000   | 2020/05/15 | 2020/11/02 | 10.00          |
| 52014    | HK Bank - HSI R Bull CBBC Sep 2022 O                     | 60,000,000   | 2020/05/15 | 2022/09/29 | 15.00          |
| 52015    | HK Bank - HSI R Bull CBBC Dec 2022 M                     | 80,000,000   | 2020/05/15 | 2022/12/29 | 20.00          |
| 52075    | HK Bank - Meituan Dianping R Bull CBBC Nov 2020 A        | 40,000,000   | 2020/05/15 | 2020/11/02 | 10.00          |
| 51954    | HK Bank - Sunny Optical R Bull CBBC Nov 2020 A           | 40,000,000   | 2020/05/15 | 2020/11/09 | 10.00          |
| 51977    | HK Bank - Tencent R Bull CBBC Nov 2020 B                 | 40,000,000   | 2020/05/15 | 2020/11/09 | 10.00          |
| 51976    | HK Bank - Xiaomi R Bull CBBC Oct 2020 A                  | 40,000,000   | 2020/05/15 | 2020/10/19 | 10.00          |
| 55358    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 H           | 300,000,000  | 2020/05/15 | 2023/03/30 | 75.00          |
| 55228    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 E           | 150,000,000  | 2020/05/15 | 2023/04/27 | 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 54903    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 B               | 150,000,000  | 2020/05/15 | 2020/10/29 | 52.20          |
| 54975    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 A               | 200,000,000  | 2020/05/15 | 2020/11/27 | 50.00          |
| 54905    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 Z               | 200,000,000  | 2020/05/15 | 2020/11/27 | 74.60          |
| 55465    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Nov 2020 F  | 40,000,000   | 2020/05/15 | 2020/11/23 | 10.00          |
| 55439    | Haitong Int'l Sec - Tencent R Bull CBBC Nov 2020 N           | 40,000,000   | 2020/05/15 | 2020/11/30 | 10.00          |
| 54927    | Haitong Int'l Sec - Tencent R Bear CBBC Sep 2020 U           | 40,000,000   | 2020/05/15 | 2020/09/30 | 10.00          |
| 55452    | Haitong Int'l Sec - Xiaomi R Bull CBBC Sep 2020 G            | 40,000,000   | 2020/05/15 | 2020/09/30 | 10.00          |
| 53223    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 X                | 200,000,000  | 2020/05/15 | 2023/02/27 | 50.00          |
| 54087    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Y                | 240,000,000  | 2020/05/15 | 2023/02/27 | 60.00          |
| 53882    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 D                | 200,000,000  | 2020/05/15 | 2023/03/30 | 50.00          |
| 53185    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 G                | 200,000,000  | 2020/05/15 | 2020/11/27 | 50.00          |
| 54243    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 D                | 200,000,000  | 2020/05/15 | 2020/12/30 | 50.00          |
| 53209    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 C                | 240,000,000  | 2020/05/15 | 2021/01/28 | 60.00          |
| 54134    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 D                | 240,000,000  | 2020/05/15 | 2021/01/28 | 60.00          |
| 54354    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 E                | 200,000,000  | 2020/05/15 | 2021/01/28 | 50.00          |
| 53270    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Oct 2020 A   | 80,000,000   | 2020/05/15 | 2020/10/09 | 20.00          |
| 53566    | J P Morgan SP BV - Ping An R Bull CBBC Nov 2020 A            | 100,000,000  | 2020/05/15 | 2020/11/13 | 25.00          |
| 53273    | J P Morgan SP BV - Tencent R Bull CBBC Oct 2020 B            | 50,000,000   | 2020/05/15 | 2020/10/16 | 12.50          |
| 53791    | J P Morgan SP BV - Xiaomi R Bull CBBC Nov 2020 A             | 80,000,000   | 2020/05/15 | 2020/11/13 | 20.00          |
| 53114    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 F    | 150,000,000  | 2020/05/15 | 2022/11/29 | 37.50          |
| 53156    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 G    | 150,000,000  | 2020/05/15 | 2023/02/27 | 37.50          |
| 52016    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 W    | 150,000,000  | 2020/05/15 | 2020/08/28 | 37.50          |
| 52022    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 V    | 150,000,000  | 2020/05/15 | 2020/09/29 | 37.50          |
| 52975    | Morgan Stanley Asia Products - Xiaomi R Bull CBBC Oct 2020 C | 40,000,000   | 2020/05/15 | 2020/10/19 | 10.00          |
| 53083    | Morgan Stanley Asia Products - Xiaomi R Bull CBBC Oct 2020 D | 40,000,000   | 2020/05/15 | 2020/10/05 | 10.00          |
| 56196    | SG Issuer - AIA R Bear CBBC Nov 2020 B                       | 60,000,000   | 2020/05/15 | 2020/11/27 | 15.00          |
| 56403    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 H             | 60,000,000   | 2020/05/15 | 2020/11/30 | 15.00          |
| 56211    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 X             | 60,000,000   | 2020/05/15 | 2020/12/30 | 15.00          |
| 56404    | SG Issuer - Galaxy Ent R Bear CBBC Dec 2020 H                | 100,000,000  | 2020/05/15 | 2020/12/29 | 25.00          |
| 56414    | SG Issuer - HKEX R Bear CBBC Nov 2020 B                      | 200,000,000  | 2020/05/15 | 2020/11/27 | 50.00          |
| 56514    | SG Issuer - HSI R Bull CBBC Dec 2022 I                       | 250,000,000  | 2020/05/15 | 2022/12/29 | 62.50          |
| 56531    | SG Issuer - HSI R Bull CBBC Dec 2022 J                       | 250,000,000  | 2020/05/15 | 2022/12/29 | 62.50          |
| 56560    | SG Issuer - HSI R Bull CBBC Dec 2022 W                       | 250,000,000  | 2020/05/15 | 2022/12/29 | 62.50          |
| 56584    | SG Issuer - HSI R Bull CBBC Apr 2023 H                       | 250,000,000  | 2020/05/15 | 2023/04/27 | 62.50          |
| 56349    | SG Issuer - HSI R Bear CBBC Aug 2020 F                       | 250,000,000  | 2020/05/15 | 2020/08/28 | 62.50          |
| 56378    | SG Issuer - HSI R Bear CBBC Oct 2020 A                       | 500,000,000  | 2020/05/15 | 2020/10/29 | 125.00         |
| 56463    | SG Issuer - HSI R Bear CBBC Nov 2020 A                       | 250,000,000  | 2020/05/15 | 2020/11/27 | 62.50          |
| 56402    | SG Issuer - HSI R Bear CBBC Nov 2020 R                       | 250,000,000  | 2020/05/15 | 2020/11/27 | 62.50          |
| 56473    | SG Issuer - HSI R Bear CBBC Dec 2020 M                       | 250,000,000  | 2020/05/15 | 2020/12/30 | 62.50          |
| 56454    | SG Issuer - HSI R Bear CBBC Jan 2021 B                       | 250,000,000  | 2020/05/15 | 2021/01/28 | 62.50          |
| 56598    | SG Issuer - Meituan Dianping R Bull CBBC Oct 2020 K          | 100,000,000  | 2020/05/15 | 2020/10/30 | 25.00          |
| 56247    | SG Issuer - Meituan Dianping R Bear CBBC Nov 2020 E          | 100,000,000  | 2020/05/15 | 2020/11/27 | 25.00          |
| 56441    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 I          | 100,000,000  | 2020/05/15 | 2020/12/30 | 28.50          |
| 56639    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 A          | 100,000,000  | 2020/05/15 | 2021/01/28 | 25.00          |
| 56680    | SG Issuer - SUNAC R Bull CBBC Feb 2021 C                     | 80,000,000   | 2020/05/15 | 2021/02/25 | 20.00          |

# 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 56248    | SG Issuer - Sunny Optical R Bear CBBC Dec 2020 C        | 60,000,000   | 2020/05/15 | 2020/12/30 | 15.00          |
| 56690    | SG Issuer - Tencent R Bull CBBC Aug 2020 P              | 80,000,000   | 2020/05/15 | 2020/08/31 | 20.00          |
| 56702    | SG Issuer - Tencent R Bull CBBC Dec 2020 Q              | 200,000,000  | 2020/05/15 | 2020/12/31 | 50.00          |
| 56310    | SG Issuer - Tencent R Bear CBBC Nov 2020 W              | 80,000,000   | 2020/05/15 | 2020/11/27 | 20.00          |
| 56340    | SG Issuer - Tencent R Bear CBBC Dec 2020 H              | 80,000,000   | 2020/05/15 | 2020/12/30 | 20.00          |
| 56342    | SG Issuer - Tencent R Bear CBBC Jan 2021 G              | 80,000,000   | 2020/05/15 | 2021/01/28 | 20.00          |
| 56723    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 G               | 60,000,000   | 2020/05/15 | 2020/12/31 | 15.00          |
| 56344    | SG Issuer - Xiaomi R Bear CBBC Dec 2020 A               | 60,000,000   | 2020/05/15 | 2020/12/30 | 15.00          |
| 56724    | SG Issuer - Xiaomi R Bear CBBC Dec 2020 B               | 60,000,000   | 2020/05/15 | 2020/12/31 | 15.00          |
| 52297    | UBS AG - AAC Tech R Bull CBBC Apr 2021 A                | 100,000,000  | 2020/05/15 | 2021/04/30 | 25.00          |
| 52543    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 H           | 80,000,000   | 2020/05/15 | 2021/02/08 | 20.00          |
| 52404    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 X           | 80,000,000   | 2020/05/15 | 2020/12/14 | 20.00          |
| 52095    | UBS AG - CC Bank R Bull CBBC Dec 2020 D                 | 80,000,000   | 2020/05/15 | 2020/12/31 | 20.00          |
| 52451    | UBS AG - CNOOC R Bear CBBC Dec 2020 E                   | 40,000,000   | 2020/05/15 | 2020/12/07 | 10.00          |
| 52438    | UBS AG - Geely Auto R Bull CBBC Dec 2020 H              | 30,000,000   | 2020/05/15 | 2020/12/08 | 10.20          |
| 52728    | UBS AG - Galaxy Ent R Bull CBBC Feb 2021 A              | 60,000,000   | 2020/05/15 | 2021/02/08 | 15.00          |
| 52640    | UBS AG - HKEX R Bear CBBC Feb 2021 A                    | 50,000,000   | 2020/05/15 | 2021/02/08 | 12.50          |
| 52455    | UBS AG - HSI R Bull CBBC Jan 2023 I                     | 200,000,000  | 2020/05/15 | 2023/01/30 | 50.00          |
| 52465    | UBS AG - HSI R Bull CBBC Jan 2023 J                     | 200,000,000  | 2020/05/15 | 2023/01/30 | 50.00          |
| 52454    | UBS AG - HSI R Bull CBBC Jan 2023 Q                     | 200,000,000  | 2020/05/15 | 2023/01/30 | 50.00          |
| 52344    | UBS AG - HSI R Bear CBBC Oct 2020 U                     | 200,000,000  | 2020/05/15 | 2020/10/29 | 50.00          |
| 52346    | UBS AG - HSI R Bear CBBC Oct 2020 V                     | 200,000,000  | 2020/05/15 | 2020/10/29 | 50.00          |
| 52478    | UBS AG - HSI R Bear CBBC Jan 2021 D                     | 200,000,000  | 2020/05/15 | 2021/01/28 | 50.00          |
| 52500    | UBS AG - HSI R Bear CBBC Jan 2021 L                     | 200,000,000  | 2020/05/15 | 2021/01/28 | 50.00          |
| 52522    | UBS AG - HSI R Bear CBBC Jan 2021 Q                     | 200,000,000  | 2020/05/15 | 2021/01/28 | 50.00          |
| 52608    | UBS AG - Meituan Dianping R Bull CBBC Feb 2021 B        | 50,000,000   | 2020/05/15 | 2021/02/08 | 12.50          |
| 52405    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 Q        | 50,000,000   | 2020/05/15 | 2020/12/30 | 12.50          |
| 52773    | UBS AG - Sunny Optical R Bull CBBC Feb 2021 A           | 30,000,000   | 2020/05/15 | 2021/02/08 | 10.20          |
| 52867    | UBS AG - Sunny Optical R Bull CBBC Sep 2021 A           | 150,000,000  | 2020/05/15 | 2021/09/30 | 37.50          |
| 52537    | UBS AG - Tencent R Bull CBBC Feb 2021 D                 | 40,000,000   | 2020/05/15 | 2021/02/08 | 10.00          |
| 52347    | UBS AG - Tencent R Bear CBBC Dec 2020 W                 | 40,000,000   | 2020/05/15 | 2020/12/30 | 10.00          |
| 52394    | UBS AG - Tencent R Bear CBBC Jan 2021 B                 | 200,000,000  | 2020/05/15 | 2021/01/28 | 50.00          |
| 52641    | UBS AG - Xiaomi R Bull CBBC Feb 2021 A                  | 60,000,000   | 2020/05/15 | 2021/02/08 | 15.00          |
| 52433    | UBS AG - Xiaomi R Bear CBBC Dec 2020 I                  | 60,000,000   | 2020/05/15 | 2020/12/07 | 15.00          |
| 52657    | UBS AG - Xiaomi R Bear CBBC Feb 2021 A                  | 50,000,000   | 2020/05/15 | 2021/02/08 | 12.50          |
| 56102    | Bank Vontobel - CNOOC R Bull CBBC Apr 2021 A            | 40,000,000   | 2020/05/15 | 2021/04/23 | 10.00          |
| 56188    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 F | 40,000,000   | 2020/05/15 | 2021/01/22 | 10.00          |
| 56123    | Bank Vontobel - Meituan Dianping R Bear CBBC Dec 2020 U | 60,000,000   | 2020/05/15 | 2020/12/18 | 16.80          |
| 56032    | Bank Vontobel - Tencent R Bull CBBC Oct 2020 H          | 40,000,000   | 2020/05/15 | 2020/10/23 | 10.00          |
| 56098    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 T          | 80,000,000   | 2020/05/15 | 2020/12/18 | 20.00          |
| 56161    | Bank Vontobel - Xiaomi R Bull CBBC Feb 2021 A           | 40,000,000   | 2020/05/15 | 2021/02/19 | 10.00          |
| 56189    | Bank Vontobel - Xiaomi R Bull CBBC Feb 2021 B           | 40,000,000   | 2020/05/15 | 2021/02/05 | 10.00          |
| 58530    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 H   | 60,000,000   | 2020/05/18 | 2020/12/31 | 15.00          |
| 58641    | BOCI Asia Ltd. - Galaxy Ent R Bull CBBC Oct 2020 L      | 100,000,000  | 2020/05/18 | 2020/10/30 | 25.00          |
| 63134    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 L             | 150,000,000  | 2020/05/18 | 2023/01/30 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 58445    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 H                | 150,000,000  | 2020/05/18 | 2020/10/29 | 37.50          |
| 58454    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 J                | 150,000,000  | 2020/05/18 | 2020/10/29 | 37.50          |
| 58485    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 M                | 150,000,000  | 2020/05/18 | 2020/10/29 | 37.50          |
| 58644    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 C            | 40,000,000   | 2020/05/18 | 2020/12/30 | 10.00          |
| 60698    | BNP Paribas Issuance B.V. - Alibaba R Bear CBBC Dec 2020 A | 100,000,000  | 2020/05/18 | 2020/12/30 | 25.00          |
| 60723    | BNP Paribas Issuance B.V. - Alibaba R Bear CBBC Dec 2020 B | 100,000,000  | 2020/05/18 | 2020/12/30 | 25.00          |
| 61241    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 A     | 150,000,000  | 2020/05/18 | 2022/10/28 | 37.50          |
| 61243    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 B     | 150,000,000  | 2020/05/18 | 2022/10/28 | 37.50          |
| 61246    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 C     | 150,000,000  | 2020/05/18 | 2022/10/28 | 37.50          |
| 61247    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 D     | 150,000,000  | 2020/05/18 | 2022/10/28 | 37.50          |
| 61132    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 Z     | 150,000,000  | 2020/05/18 | 2022/10/28 | 37.50          |
| 61263    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 E     | 250,000,000  | 2020/05/18 | 2020/11/27 | 62.50          |
| 61269    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 F     | 240,000,000  | 2020/05/18 | 2020/11/27 | 60.00          |
| 59937    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 O     | 250,000,000  | 2020/05/18 | 2020/12/30 | 62.50          |
| 59966    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 T     | 250,000,000  | 2020/05/18 | 2020/12/30 | 62.50          |
| 60776    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 E | 50,000,000   | 2020/05/18 | 2020/11/27 | 12.50          |
| 60637    | BNP Paribas Issuance B.V. - Ping An R Bull CBBC Sep 2021 A | 200,000,000  | 2020/05/18 | 2021/09/29 | 50.00          |
| 60739    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 M | 50,000,000   | 2020/05/18 | 2020/11/27 | 12.50          |
| 60196    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 N | 50,000,000   | 2020/05/18 | 2020/11/27 | 12.50          |
| 60404    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 N | 50,000,000   | 2020/05/18 | 2020/12/30 | 12.50          |
| 60744    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 O | 50,000,000   | 2020/05/18 | 2020/12/30 | 12.50          |
| 60020    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 H | 50,000,000   | 2020/05/18 | 2020/11/27 | 27.50          |
| 60507    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 I | 50,000,000   | 2020/05/18 | 2020/11/27 | 12.50          |
| 60962    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 J | 50,000,000   | 2020/05/18 | 2020/11/27 | 20.00          |
| 61262    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 K | 50,000,000   | 2020/05/18 | 2020/11/27 | 25.00          |
| 60098    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 A | 50,000,000   | 2020/05/18 | 2020/12/30 | 32.50          |
| 61261    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 C | 50,000,000   | 2020/05/18 | 2020/12/30 | 12.50          |
| 60000    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 J | 50,000,000   | 2020/05/18 | 2020/12/30 | 22.50          |
| 60504    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 L | 50,000,000   | 2020/05/18 | 2020/12/30 | 12.50          |
| 60573    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 N | 50,000,000   | 2020/05/18 | 2020/12/30 | 12.50          |
| 60876    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 P | 50,000,000   | 2020/05/18 | 2020/12/30 | 12.50          |
| 60483    | BNP Paribas Issuance B.V. - Xiaomi R Bull CBBC Nov 2020 V  | 50,000,000   | 2020/05/18 | 2020/11/27 | 12.50          |
| 61680    | Credit Suisse AG - AAC Tech R Bull CBBC Dec 2020 C         | 80,000,000   | 2020/05/18 | 2020/12/30 | 20.00          |
| 61523    | Credit Suisse AG - AIA R Bull CBBC Oct 2020 E              | 70,000,000   | 2020/05/18 | 2020/10/29 | 17.50          |
| 61442    | Credit Suisse AG - Galaxy Ent R Bull CBBC Nov 2020 E       | 80,000,000   | 2020/05/18 | 2020/11/27 | 20.00          |
| 61798    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 F              | 200,000,000  | 2020/05/18 | 2022/10/28 | 50.00          |
| 61725    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 X              | 200,000,000  | 2020/05/18 | 2022/11/29 | 50.00          |
| 61713    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 E              | 200,000,000  | 2020/05/18 | 2023/02/27 | 50.00          |
| 61730    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 F              | 200,000,000  | 2020/05/18 | 2023/02/27 | 50.00          |
| 61873    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 G              | 200,000,000  | 2020/05/18 | 2023/02/27 | 50.00          |
| 61367    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 D              | 200,000,000  | 2020/05/18 | 2020/09/29 | 50.00          |
| 61333    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 E              | 200,000,000  | 2020/05/18 | 2020/11/27 | 50.00          |
| 61334    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 H              | 200,000,000  | 2020/05/18 | 2020/11/27 | 50.00          |
| 61270    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 I              | 200,000,000  | 2020/05/18 | 2020/11/27 | 50.00          |
| 61274    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 Y              | 200,000,000  | 2020/05/18 | 2020/11/27 | 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 61592    | Credit Suisse AG - Sands China R Bull CBBC Mar 2021 B    | 60,000,000   | 2020/05/18 | 2021/03/30 | 15.00          |
| 61874    | Credit Suisse AG - Sands China R Bear CBBC Dec 2020 B    | 60,000,000   | 2020/05/18 | 2020/12/30 | 15.00          |
| 61536    | Credit Suisse AG - SUNAC R Bull CBBC Jan 2021 B          | 60,000,000   | 2020/05/18 | 2021/01/28 | 15.00          |
| 61687    | Credit Suisse AG - Sunny Optical R Bull CBBC Nov 2020 E  | 40,000,000   | 2020/05/18 | 2020/11/27 | 10.00          |
| 61515    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 J        | 50,000,000   | 2020/05/18 | 2020/10/29 | 12.50          |
| 62131    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 K        | 50,000,000   | 2020/05/18 | 2020/10/29 | 12.50          |
| 62136    | Credit Suisse AG - Tencent R Bear CBBC Nov 2020 B        | 50,000,000   | 2020/05/18 | 2020/11/27 | 20.00          |
| 62230    | Credit Suisse AG - Tencent R Bear CBBC Dec 2020 M        | 50,000,000   | 2020/05/18 | 2020/12/30 | 25.00          |
| 64632    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 T | 60,000,000   | 2020/05/18 | 2020/10/30 | 15.00          |
| 64724    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 T     | 160,000,000  | 2020/05/18 | 2022/11/29 | 40.00          |
| 64587    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 V     | 160,000,000  | 2020/05/18 | 2023/04/27 | 40.00          |
| 64704    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 W     | 160,000,000  | 2020/05/18 | 2023/04/27 | 40.00          |
| 64714    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 X     | 160,000,000  | 2020/05/18 | 2023/04/27 | 40.00          |
| 64590    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 V     | 160,000,000  | 2020/05/18 | 2023/05/30 | 40.00          |
| 64547    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 K     | 160,000,000  | 2020/05/18 | 2021/01/28 | 40.00          |
| 64552    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 L     | 160,000,000  | 2020/05/18 | 2021/01/28 | 40.00          |
| 64572    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 M     | 160,000,000  | 2020/05/18 | 2021/01/28 | 40.00          |
| 64573    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 N     | 160,000,000  | 2020/05/18 | 2021/01/28 | 40.00          |
| 64682    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 O     | 160,000,000  | 2020/05/18 | 2021/01/28 | 40.00          |
| 64691    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 P     | 160,000,000  | 2020/05/18 | 2021/01/28 | 40.00          |
| 64619    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Dec 2020 E | 60,000,000   | 2020/05/18 | 2020/12/30 | 15.00          |
| 64616    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 X | 60,000,000   | 2020/05/18 | 2020/10/30 | 15.00          |
| 64626    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 Y | 60,000,000   | 2020/05/18 | 2020/10/30 | 15.00          |
| 64620    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Mar 2021 T | 80,000,000   | 2020/05/18 | 2021/03/31 | 20.00          |
| 64615    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Mar 2021 I | 80,000,000   | 2020/05/18 | 2021/03/31 | 20.00          |
| 58325    | HK Bank - Alibaba Group R Bull CBBC Oct 2020 G           | 40,000,000   | 2020/05/18 | 2020/10/12 | 10.00          |
| 58107    | HK Bank - CAM CSI300 R Bull CBBC Dec 2020 A              | 40,000,000   | 2020/05/18 | 2020/12/07 | 10.00          |
| 58358    | HK Bank - Galaxy Ent R Bull CBBC Nov 2020 G              | 60,000,000   | 2020/05/18 | 2020/11/16 | 15.00          |
| 58353    | HK Bank - HKEX R Bull CBBC Nov 2020 D                    | 40,000,000   | 2020/05/18 | 2020/11/16 | 10.00          |
| 57929    | HK Bank - HSCEI R Bull CBBC Sep 2022 J                   | 50,000,000   | 2020/05/18 | 2022/09/29 | 12.50          |
| 58018    | HK Bank - HSCEI R Bear CBBC Dec 2020 A                   | 50,000,000   | 2020/05/18 | 2020/12/30 | 12.50          |
| 57896    | HK Bank - HSI R Bull CBBC Sep 2022 H                     | 60,000,000   | 2020/05/18 | 2022/09/29 | 15.00          |
| 57909    | HK Bank - HSI R Bull CBBC Dec 2022 X                     | 100,000,000  | 2020/05/18 | 2022/12/29 | 25.00          |
| 58075    | HK Bank - HSI R Bear CBBC Sep 2020 T                     | 80,000,000   | 2020/05/18 | 2020/09/29 | 20.00          |
| 57619    | HK Bank - HSI R Bear CBBC Sep 2020 W                     | 100,000,000  | 2020/05/18 | 2020/09/29 | 25.00          |
| 57482    | HK Bank - HSI R Bear CBBC Sep 2020 X                     | 100,000,000  | 2020/05/18 | 2020/09/29 | 25.00          |
| 58308    | HK Bank - Meituan Dianping R Bear CBBC Nov 2020 A        | 40,000,000   | 2020/05/18 | 2020/11/09 | 10.00          |
| 58129    | HK Bank - Sands China R Bull CBBC Nov 2020 B             | 40,000,000   | 2020/05/18 | 2020/11/16 | 10.00          |
| 58330    | HK Bank - Sunny Optical R Bull CBBC Oct 2020 C           | 40,000,000   | 2020/05/18 | 2020/10/05 | 10.00          |
| 58313    | HK Bank - Tencent R Bull CBBC Oct 2020 H                 | 40,000,000   | 2020/05/18 | 2020/10/05 | 10.00          |
| 57467    | HK Bank - Tencent R Bear CBBC Oct 2020 A                 | 40,000,000   | 2020/05/18 | 2020/10/12 | 10.00          |
| 58322    | HK Bank - Tencent R Bear CBBC Nov 2020 A                 | 100,000,000  | 2020/05/18 | 2020/11/09 | 25.00          |
| 58379    | HK Bank - Xiaomi R Bull CBBC Nov 2020 B                  | 60,000,000   | 2020/05/18 | 2020/11/02 | 15.00          |
| 63531    | Haitong Int'l Sec - AAC Tech R Bull CBBC Apr 2021 A      | 80,000,000   | 2020/05/18 | 2021/04/23 | 20.00          |
| 63464    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 T           | 200,000,000  | 2020/05/18 | 2022/10/28 | 50.00          |



# 主板 可收回牛熊證

| 股份代號  | 牛熊證                                                          | 上市時之發行單位    | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|-------|--------------------------------------------------------------|-------------|------------|------------|----------------|
| 63444 | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 D               | 150,000,000 | 2020/05/18 | 2022/11/29 | 37.50          |
| 63455 | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 E               | 150,000,000 | 2020/05/18 | 2022/11/29 | 37.50          |
| 63220 | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 W               | 150,000,000 | 2020/05/18 | 2020/09/29 | 37.50          |
| 63178 | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 B               | 150,000,000 | 2020/05/18 | 2020/11/27 | 37.50          |
| 63285 | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 C               | 200,000,000 | 2020/05/18 | 2020/11/27 | 50.00          |
| 63492 | Haitong Int'l Sec - Sands China R Bull CBBC Mar 2021 A       | 80,000,000  | 2020/05/18 | 2021/03/19 | 20.00          |
| 63517 | Haitong Int'l Sec - Sands China R Bear CBBC Dec 2020 A       | 80,000,000  | 2020/05/18 | 2020/12/30 | 20.00          |
| 63532 | Haitong Int'l Sec - Sunny Optical R Bull CBBC Feb 2021 A     | 60,000,000  | 2020/05/18 | 2021/02/08 | 15.00          |
| 63404 | Haitong Int'l Sec - Tencent R Bull CBBC Sep 2020 A           | 60,000,000  | 2020/05/18 | 2020/09/23 | 15.00          |
| 63387 | Haitong Int'l Sec - Tencent R Bull CBBC Oct 2020 S           | 60,000,000  | 2020/05/18 | 2020/10/23 | 15.00          |
| 63407 | Haitong Int'l Sec - Tencent R Bull CBBC Jan 2021 A           | 200,000,000 | 2020/05/18 | 2021/01/28 | 50.00          |
| 63297 | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 O           | 40,000,000  | 2020/05/18 | 2020/11/23 | 10.00          |
| 63379 | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 P           | 40,000,000  | 2020/05/18 | 2020/11/23 | 10.00          |
| 63443 | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 Q           | 60,000,000  | 2020/05/18 | 2020/11/23 | 15.00          |
| 63433 | Haitong Int'l Sec - Tencent R Bear CBBC Jan 2021 A           | 200,000,000 | 2020/05/18 | 2021/01/28 | 50.00          |
| 63442 | Haitong Int'l Sec - Tencent R Bear CBBC Jan 2021 B           | 200,000,000 | 2020/05/18 | 2021/01/28 | 50.00          |
| 62866 | J P Morgan SP BV - HKEX R Bull CBBC Oct 2020 A               | 40,000,000  | 2020/05/18 | 2020/10/09 | 10.00          |
| 62966 | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 T                | 200,000,000 | 2020/05/18 | 2023/01/30 | 50.00          |
| 62742 | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 H                | 200,000,000 | 2020/05/18 | 2023/03/30 | 50.00          |
| 62853 | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 E                | 200,000,000 | 2020/05/18 | 2023/04/27 | 50.00          |
| 62968 | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 F                | 200,000,000 | 2020/05/18 | 2023/04/27 | 50.00          |
| 63037 | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 G                | 240,000,000 | 2020/05/18 | 2023/04/27 | 60.00          |
| 62287 | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 F                | 200,000,000 | 2020/05/18 | 2020/10/29 | 50.00          |
| 62311 | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 M                | 200,000,000 | 2020/05/18 | 2020/11/27 | 50.00          |
| 63059 | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 N                | 200,000,000 | 2020/05/18 | 2020/11/27 | 50.00          |
| 63068 | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 Q                | 200,000,000 | 2020/05/18 | 2020/11/27 | 50.00          |
| 62511 | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 G                | 200,000,000 | 2020/05/18 | 2020/12/30 | 50.00          |
| 62695 | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 F                | 200,000,000 | 2020/05/18 | 2021/01/28 | 50.00          |
| 63065 | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 G                | 200,000,000 | 2020/05/18 | 2021/01/28 | 50.00          |
| 62903 | J P Morgan SP BV - Tencent R Bull CBBC Oct 2020 C            | 50,000,000  | 2020/05/18 | 2020/10/09 | 12.50          |
| 62883 | J P Morgan SP BV - Tencent R Bull CBBC Nov 2020 A            | 50,000,000  | 2020/05/18 | 2020/11/13 | 12.50          |
| 59884 | Morgan Stanley Asia Products - HSI R Bull CBBC Dec 2022 C    | 150,000,000 | 2020/05/18 | 2022/12/29 | 37.50          |
| 59780 | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 L    | 150,000,000 | 2020/05/18 | 2023/01/30 | 37.50          |
| 59868 | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 M    | 150,000,000 | 2020/05/18 | 2023/01/30 | 37.50          |
| 57747 | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 X    | 150,000,000 | 2020/05/18 | 2020/08/28 | 37.50          |
| 57822 | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 Y    | 150,000,000 | 2020/05/18 | 2020/08/28 | 37.50          |
| 57688 | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 W    | 150,000,000 | 2020/05/18 | 2020/09/29 | 37.50          |
| 57857 | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 X    | 150,000,000 | 2020/05/18 | 2020/09/29 | 37.50          |
| 59877 | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 Q    | 150,000,000 | 2020/05/18 | 2020/10/29 | 37.50          |
| 57859 | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 E    | 150,000,000 | 2020/05/18 | 2020/11/27 | 37.50          |
| 59890 | Morgan Stanley Asia Products - Tencent R Bull CBBC Oct 2020D | 40,000,000  | 2020/05/18 | 2020/10/05 | 10.00          |
| 59936 | Morgan Stanley Asia Products - Tencent R Bull CBBC Oct 2020E | 40,000,000  | 2020/05/18 | 2020/10/19 | 10.00          |
| 59900 | Morgan Stanley Asia Products - Tencent R Bull CBBC Nov 2020C | 40,000,000  | 2020/05/18 | 2020/11/02 | 12.60          |
| 59781 | Morgan Stanley Asia Products - Tencent R Bear CBBC Dec 2020I | 40,000,000  | 2020/05/18 | 2020/12/01 | 10.00          |
| 63754 | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 X             | 60,000,000  | 2020/05/18 | 2020/09/30 | 15.00          |

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|----------|-----------------------------------------------------|--------------|------------|------------|----------------|
| 63925    | SG Issuer - Alibaba Group R Bull CBBC Feb 2021 B    | 150,000,000  | 2020/05/18 | 2021/02/25 | 37.50          |
| 63540    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 G    | 150,000,000  | 2020/05/18 | 2021/01/28 | 37.50          |
| 63546    | SG Issuer - Alibaba Group R Bear CBBC Feb 2021 B    | 60,000,000   | 2020/05/18 | 2021/02/25 | 15.00          |
| 63554    | SG Issuer - CM Bank R Bull CBBC Feb 2021 C          | 100,000,000  | 2020/05/18 | 2021/02/25 | 25.00          |
| 63560    | SG Issuer - CNOOC R Bear CBBC Jan 2021 A            | 40,000,000   | 2020/05/18 | 2021/01/28 | 10.00          |
| 63767    | SG Issuer - Geely Auto R Bull CBBC Nov 2020 B       | 40,000,000   | 2020/05/18 | 2020/11/30 | 10.00          |
| 63960    | SG Issuer - Geely Auto R Bear CBBC Feb 2021 A       | 150,000,000  | 2020/05/18 | 2021/02/25 | 37.50          |
| 63755    | SG Issuer - Galaxy Ent R Bull CBBC Nov 2020 F       | 100,000,000  | 2020/05/18 | 2020/11/30 | 25.00          |
| 63565    | SG Issuer - Galaxy Ent R Bear CBBC Jan 2021 A       | 100,000,000  | 2020/05/18 | 2021/01/28 | 25.00          |
| 63930    | SG Issuer - Galaxy Ent R Bear CBBC Jan 2021 B       | 100,000,000  | 2020/05/18 | 2021/01/28 | 25.00          |
| 63781    | SG Issuer - HKEX R Bull CBBC Nov 2020 B             | 50,000,000   | 2020/05/18 | 2020/11/30 | 12.50          |
| 64023    | SG Issuer - HKEX R Bear CBBC Dec 2020 F             | 50,000,000   | 2020/05/18 | 2020/12/30 | 19.25          |
| 63849    | SG Issuer - HSI R Bull CBBC Apr 2023 I              | 250,000,000  | 2020/05/18 | 2023/04/27 | 62.50          |
| 63850    | SG Issuer - HSI R Bull CBBC Apr 2023 J              | 500,000,000  | 2020/05/18 | 2023/04/27 | 125.00         |
| 63853    | SG Issuer - HSI R Bull CBBC May 2023 U              | 250,000,000  | 2020/05/18 | 2023/05/30 | 62.50          |
| 63869    | SG Issuer - HSI R Bull CBBC May 2023 V              | 250,000,000  | 2020/05/18 | 2023/05/30 | 62.50          |
| 64356    | SG Issuer - HSI R Bull CBBC May 2023 W              | 250,000,000  | 2020/05/18 | 2023/05/30 | 62.50          |
| 63686    | SG Issuer - HSI R Bear CBBC Aug 2020 D              | 250,000,000  | 2020/05/18 | 2020/08/28 | 62.50          |
| 63677    | SG Issuer - HSI R Bear CBBC Aug 2020 G              | 500,000,000  | 2020/05/18 | 2020/08/28 | 125.00         |
| 63700    | SG Issuer - HSI R Bear CBBC Aug 2020 H              | 250,000,000  | 2020/05/18 | 2020/08/28 | 62.50          |
| 63733    | SG Issuer - HSI R Bear CBBC Aug 2020 L              | 250,000,000  | 2020/05/18 | 2020/08/28 | 62.50          |
| 63745    | SG Issuer - HSI R Bear CBBC Sep 2020 G              | 250,000,000  | 2020/05/18 | 2020/09/29 | 62.50          |
| 63817    | SG Issuer - HSI R Bear CBBC Oct 2020 C              | 250,000,000  | 2020/05/18 | 2020/10/29 | 62.50          |
| 64278    | SG Issuer - HSI R Bear CBBC Oct 2020 D              | 250,000,000  | 2020/05/18 | 2020/10/29 | 62.50          |
| 64330    | SG Issuer - HSI R Bear CBBC Dec 2020 T              | 250,000,000  | 2020/05/18 | 2020/12/30 | 62.50          |
| 64039    | SG Issuer - Meituan Dianping R Bull CBBC Nov 2020 L | 100,000,000  | 2020/05/18 | 2020/11/30 | 25.00          |
| 63603    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 W | 100,000,000  | 2020/05/18 | 2020/12/30 | 25.00          |
| 63636    | SG Issuer - Ping An R Bear CBBC Dec 2020 C          | 100,000,000  | 2020/05/18 | 2020/12/30 | 25.00          |
| 63796    | SG Issuer - Sands China R Bull CBBC Mar 2021 C      | 100,000,000  | 2020/05/18 | 2021/03/30 | 25.00          |
| 64367    | SG Issuer - SMIC R Bull CBBC Feb 2021 A             | 120,000,000  | 2020/05/18 | 2021/02/25 | 30.00          |
| 64379    | SG Issuer - SMIC R Bull CBBC Feb 2021 B             | 120,000,000  | 2020/05/18 | 2021/02/25 | 30.00          |
| 64380    | SG Issuer - SMIC R Bull CBBC Feb 2021 C             | 120,000,000  | 2020/05/18 | 2021/02/26 | 30.00          |
| 64358    | SG Issuer - SMIC R Bear CBBC Dec 2020 A             | 120,000,000  | 2020/05/18 | 2020/12/30 | 30.00          |
| 64052    | SG Issuer - Sunny Optical R Bear CBBC Jan 2021 A    | 60,000,000   | 2020/05/18 | 2021/01/28 | 15.00          |
| 64053    | SG Issuer - Tencent R Bull CBBC Aug 2020 Q          | 80,000,000   | 2020/05/18 | 2020/08/31 | 20.00          |
| 64092    | SG Issuer - Tencent R Bull CBBC Sep 2020 I          | 80,000,000   | 2020/05/18 | 2020/09/30 | 20.00          |
| 64119    | SG Issuer - Tencent R Bull CBBC Sep 2020 L          | 80,000,000   | 2020/05/18 | 2020/09/30 | 20.00          |
| 64196    | SG Issuer - Tencent R Bull CBBC Nov 2020 H          | 80,000,000   | 2020/05/18 | 2020/11/30 | 20.00          |
| 64244    | SG Issuer - Tencent R Bull CBBC Jan 2021 B          | 200,000,000  | 2020/05/18 | 2021/01/28 | 50.00          |
| 63639    | SG Issuer - Tencent R Bear CBBC Nov 2020 J          | 80,000,000   | 2020/05/18 | 2020/11/27 | 20.00          |
| 63664    | SG Issuer - Tencent R Bear CBBC Nov 2020 L          | 80,000,000   | 2020/05/18 | 2020/11/27 | 20.00          |
| 64209    | SG Issuer - Tencent R Bear CBBC Dec 2020 I          | 80,000,000   | 2020/05/18 | 2020/12/30 | 20.00          |
| 64255    | SG Issuer - Tencent R Bear CBBC Jan 2021 H          | 80,000,000   | 2020/05/18 | 2021/01/28 | 20.00          |
| 64457    | SG Issuer - Tencent R Bear CBBC Jan 2021 I          | 80,000,000   | 2020/05/18 | 2021/01/28 | 48.00          |
| 64261    | SG Issuer - Tencent R Bear CBBC Feb 2021 Q          | 80,000,000   | 2020/05/18 | 2021/02/26 | 20.00          |

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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 64276    | SG Issuer - Tencent R Bear CBBC Mar 2021 C              | 80,000,000   | 2020/05/18 | 2021/03/31 | 28.40          |
| 63808    | SG Issuer - Xiaomi R Bull CBBC Nov 2020 E               | 60,000,000   | 2020/05/18 | 2020/11/30 | 15.00          |
| 59265    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 Z           | 80,000,000   | 2020/05/18 | 2020/12/18 | 20.00          |
| 58833    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 Y           | 80,000,000   | 2020/05/18 | 2020/12/22 | 20.00          |
| 58839    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 C           | 400,000,000  | 2020/05/18 | 2021/02/08 | 100.00         |
| 59512    | UBS AG - China Mobile R Bull CBBC Dec 2020 G            | 100,000,000  | 2020/05/18 | 2020/12/08 | 25.00          |
| 59454    | UBS AG - CSOP A50 ETF R Bull CBBC Nov 2021 A            | 200,000,000  | 2020/05/18 | 2021/11/30 | 50.00          |
| 59480    | UBS AG - HKEX R Bull CBBC Jan 2021 C                    | 50,000,000   | 2020/05/18 | 2021/01/11 | 12.50          |
| 59234    | UBS AG - HSCEI R Bull CBBC Dec 2021 H                   | 200,000,000  | 2020/05/18 | 2021/12/30 | 50.00          |
| 59255    | UBS AG - HSCEI R Bear CBBC Dec 2020 B                   | 200,000,000  | 2020/05/18 | 2020/12/30 | 50.00          |
| 59011    | UBS AG - HSI R Bull CBBC Apr 2023 N                     | 200,000,000  | 2020/05/18 | 2023/04/27 | 50.00          |
| 59065    | UBS AG - HSI R Bull CBBC Apr 2023 O                     | 200,000,000  | 2020/05/18 | 2023/04/27 | 50.00          |
| 59159    | UBS AG - HSI R Bull CBBC Apr 2023 P                     | 200,000,000  | 2020/05/18 | 2023/04/27 | 50.00          |
| 59181    | UBS AG - HSI R Bull CBBC Apr 2023 Q                     | 200,000,000  | 2020/05/18 | 2023/04/27 | 50.00          |
| 58880    | UBS AG - HSI R Bear CBBC Sep 2020 N                     | 200,000,000  | 2020/05/18 | 2020/09/29 | 50.00          |
| 59001    | UBS AG - HSI R Bear CBBC Sep 2020 Q                     | 200,000,000  | 2020/05/18 | 2020/09/29 | 50.00          |
| 58844    | UBS AG - HSI R Bear CBBC Sep 2020 Y                     | 200,000,000  | 2020/05/18 | 2020/09/29 | 50.00          |
| 59736    | UBS AG - HSI R Bear CBBC Jan 2021 R                     | 200,000,000  | 2020/05/18 | 2021/01/28 | 50.00          |
| 59761    | UBS AG - HSI R Bear CBBC Jan 2021 S                     | 200,000,000  | 2020/05/18 | 2021/01/28 | 50.00          |
| 59774    | UBS AG - HSI R Bear CBBC Jan 2021 T                     | 200,000,000  | 2020/05/18 | 2021/01/28 | 50.00          |
| 59349    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 R        | 50,000,000   | 2020/05/18 | 2020/12/07 | 12.50          |
| 59379    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 S        | 50,000,000   | 2020/05/18 | 2020/12/08 | 12.50          |
| 59530    | UBS AG - Sunny Optical R Bear CBBC Dec 2020 E           | 30,000,000   | 2020/05/18 | 2020/12/14 | 10.20          |
| 59572    | UBS AG - Sunny Optical R Bear CBBC Dec 2020 F           | 30,000,000   | 2020/05/18 | 2020/12/31 | 10.20          |
| 59580    | UBS AG - Sunny Optical R Bear CBBC Feb 2021 A           | 150,000,000  | 2020/05/18 | 2021/02/08 | 37.50          |
| 59585    | UBS AG - Tencent R Bull CBBC Feb 2021 E                 | 40,000,000   | 2020/05/18 | 2021/02/01 | 10.00          |
| 59593    | UBS AG - Tencent R Bull CBBC Feb 2021 F                 | 200,000,000  | 2020/05/18 | 2021/02/02 | 50.00          |
| 59712    | UBS AG - Tencent R Bull CBBC Feb 2021 G                 | 40,000,000   | 2020/05/18 | 2021/02/03 | 10.00          |
| 59728    | UBS AG - Tencent R Bull CBBC Feb 2021 H                 | 200,000,000  | 2020/05/18 | 2021/02/04 | 50.00          |
| 58811    | UBS AG - Tencent R Bear CBBC Sep 2020 F                 | 40,000,000   | 2020/05/18 | 2020/09/22 | 10.00          |
| 58744    | UBS AG - Tencent R Bear CBBC Dec 2020 C                 | 200,000,000  | 2020/05/18 | 2020/12/09 | 50.00          |
| 59528    | UBS AG - Tencent R Bear CBBC Dec 2020 D                 | 40,000,000   | 2020/05/18 | 2020/12/08 | 12.00          |
| 58827    | UBS AG - Tencent R Bear CBBC Dec 2020 H                 | 40,000,000   | 2020/05/18 | 2020/12/07 | 10.00          |
| 58820    | UBS AG - Tencent R Bear CBBC Dec 2020 X                 | 200,000,000  | 2020/05/18 | 2020/12/09 | 50.00          |
| 58654    | UBS AG - Tencent R Bear CBBC Dec 2020 Y                 | 200,000,000  | 2020/05/18 | 2020/12/31 | 50.00          |
| 59429    | UBS AG - Xiaomi R Bull CBBC Feb 2021 B                  | 60,000,000   | 2020/05/18 | 2021/02/10 | 15.00          |
| 58842    | UBS AG - Xiaomi R Bear CBBC Dec 2020 J                  | 60,000,000   | 2020/05/18 | 2020/12/21 | 15.00          |
| 64507    | Bank Vontobel - AAC Tech R Bull CBBC Feb 2021 A         | 40,000,000   | 2020/05/18 | 2021/02/05 | 10.00          |
| 64539    | Bank Vontobel - Galaxy Ent R Bull CBBC Dec 2020 O       | 40,000,000   | 2020/05/18 | 2020/12/18 | 10.00          |
| 64517    | Bank Vontobel - HKEX R Bull CBBC Jan 2021 A             | 40,000,000   | 2020/05/18 | 2021/01/15 | 10.00          |
| 64461    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 G | 60,000,000   | 2020/05/18 | 2021/01/15 | 15.00          |
| 64500    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 A | 60,000,000   | 2020/05/18 | 2021/01/15 | 15.00          |
| 64515    | Bank Vontobel - Sunny Optical R Bull CBBC Feb 2021 A    | 40,000,000   | 2020/05/18 | 2021/02/19 | 10.00          |
| 64518    | Bank Vontobel - Tencent R Bull CBBC Jan 2021 A          | 40,000,000   | 2020/05/18 | 2021/01/15 | 10.00          |
| 64521    | Bank Vontobel - Tencent R Bull CBBC Jan 2021 B          | 40,000,000   | 2020/05/18 | 2021/01/22 | 10.00          |

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|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 64520    | Bank Vontobel - Tencent R Bull CBBC Feb 2021 A           | 40,000,000   | 2020/05/18 | 2021/02/05 | 10.00          |
| 64533    | Bank Vontobel - Tencent R Bull CBBC Feb 2021 B           | 80,000,000   | 2020/05/18 | 2021/02/19 | 20.00          |
| 64523    | Bank Vontobel - Tencent R Bear CBBC Jan 2021 A           | 80,000,000   | 2020/05/18 | 2021/01/22 | 20.00          |
| 64537    | Bank Vontobel - Tencent R Bear CBBC Jan 2021 B           | 40,000,000   | 2020/05/18 | 2021/01/22 | 10.80          |
| 64836    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 O              | 150,000,000  | 2020/05/19 | 2020/10/29 | 37.50          |
| 64798    | BOCI Asia Ltd. - Xiaomi R Bull CBBC Dec 2020 A           | 40,000,000   | 2020/05/19 | 2020/12/31 | 10.00          |
| 64799    | BOCI Asia Ltd. - Xiaomi R Bull CBBC Dec 2020 B           | 40,000,000   | 2020/05/19 | 2020/12/31 | 10.00          |
| 64812    | BOCI Asia Ltd. - Xiaomi R Bull CBBC Dec 2020 C           | 40,000,000   | 2020/05/19 | 2020/12/31 | 10.00          |
| 65249    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 E   | 150,000,000  | 2020/05/19 | 2022/10/28 | 37.50          |
| 65212    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 A   | 250,000,000  | 2020/05/19 | 2020/12/30 | 62.50          |
| 65217    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 B   | 250,000,000  | 2020/05/19 | 2020/12/30 | 62.50          |
| 65223    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 C   | 250,000,000  | 2020/05/19 | 2020/12/30 | 62.50          |
| 65224    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 D   | 250,000,000  | 2020/05/19 | 2020/12/30 | 62.50          |
| 65241    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 P   | 250,000,000  | 2020/05/19 | 2020/12/30 | 62.50          |
| 65259    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Q   | 240,000,000  | 2020/05/19 | 2020/12/30 | 60.00          |
| 65432    | Credit Suisse AG - Alibaba Group R Bull CBBC Sep 2020 H  | 50,000,000   | 2020/05/19 | 2020/09/29 | 12.50          |
| 65342    | Credit Suisse AG - HKEX R Bull CBBC Oct 2020 C           | 50,000,000   | 2020/05/19 | 2020/10/29 | 12.50          |
| 65323    | Credit Suisse AG - HSI R Bull CBBC Sep 2022 I            | 200,000,000  | 2020/05/19 | 2022/09/29 | 50.00          |
| 65317    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 H            | 200,000,000  | 2020/05/19 | 2022/10/28 | 50.00          |
| 65312    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 D            | 200,000,000  | 2020/05/19 | 2023/01/30 | 50.00          |
| 65316    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 G            | 200,000,000  | 2020/05/19 | 2023/01/30 | 50.00          |
| 65309    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 H            | 200,000,000  | 2020/05/19 | 2023/02/27 | 50.00          |
| 65363    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 E            | 200,000,000  | 2020/05/19 | 2020/09/29 | 50.00          |
| 65351    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 I            | 200,000,000  | 2020/05/19 | 2020/10/29 | 50.00          |
| 65428    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 J            | 200,000,000  | 2020/05/19 | 2020/10/29 | 50.00          |
| 65365    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 V            | 300,000,000  | 2020/05/19 | 2020/12/30 | 75.00          |
| 65340    | Credit Suisse AG - Tencent R Bull CBBC Aug 2020 F        | 100,000,000  | 2020/05/19 | 2020/08/28 | 25.00          |
| 65273    | Credit Suisse AG - Tencent R Bull CBBC Sep 2020 O        | 50,000,000   | 2020/05/19 | 2020/09/29 | 12.50          |
| 65277    | Credit Suisse AG - Tencent R Bull CBBC Sep 2020 P        | 50,000,000   | 2020/05/19 | 2020/09/29 | 12.50          |
| 65433    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 L        | 100,000,000  | 2020/05/19 | 2020/10/29 | 25.00          |
| 65435    | Credit Suisse AG - Tencent R Bear CBBC Dec 2020 N        | 50,000,000   | 2020/05/19 | 2020/12/30 | 32.50          |
| 65343    | Credit Suisse AG - Xiaomi R Bull CBBC Sep 2020 F         | 50,000,000   | 2020/05/19 | 2020/09/29 | 12.50          |
| 65986    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 U | 60,000,000   | 2020/05/19 | 2020/10/30 | 15.00          |
| 65805    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 S     | 160,000,000  | 2020/05/19 | 2022/11/29 | 40.00          |
| 65861    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 B     | 160,000,000  | 2020/05/19 | 2023/04/27 | 40.00          |
| 65839    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 Y     | 160,000,000  | 2020/05/19 | 2023/04/27 | 40.00          |
| 65842    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 Z     | 160,000,000  | 2020/05/19 | 2023/04/27 | 40.00          |
| 65802    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 W     | 160,000,000  | 2020/05/19 | 2023/05/30 | 40.00          |
| 65877    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 B     | 160,000,000  | 2020/05/19 | 2020/08/28 | 40.00          |
| 65813    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 X     | 160,000,000  | 2020/05/19 | 2020/08/28 | 40.00          |
| 65943    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 R     | 160,000,000  | 2020/05/19 | 2021/01/28 | 40.00          |
| 65965    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 S     | 160,000,000  | 2020/05/19 | 2021/01/28 | 40.00          |
| 65987    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Dec 2020 E | 60,000,000   | 2020/05/19 | 2020/12/30 | 15.00          |
| 65973    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 Z | 60,000,000   | 2020/05/19 | 2020/10/30 | 15.00          |
| 65975    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Mar 2021 U | 80,000,000   | 2020/05/19 | 2021/03/31 | 20.00          |

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|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 65970    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Mar 2021 J   | 80,000,000   | 2020/05/19 | 2021/03/31 | 20.00          |
| 65988    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Nov 2020 B    | 60,000,000   | 2020/05/19 | 2020/11/27 | 15.00          |
| 64795    | HK Bank - AAC Tech R Bull CBBC Jan 2021 A                  | 40,000,000   | 2020/05/19 | 2021/01/11 | 10.00          |
| 64751    | HK Bank - Galaxy Ent R Bear CBBC Oct 2020 B                | 40,000,000   | 2020/05/19 | 2020/10/19 | 10.00          |
| 64726    | HK Bank - HSI R Bull CBBC Sep 2022 N                       | 100,000,000  | 2020/05/19 | 2022/09/29 | 25.00          |
| 64734    | HK Bank - HSI R Bear CBBC Sep 2020 V                       | 100,000,000  | 2020/05/19 | 2020/09/29 | 25.00          |
| 64744    | HK Bank - HSI R Bear CBBC Sep 2020 Y                       | 60,000,000   | 2020/05/19 | 2020/09/29 | 15.00          |
| 64791    | HK Bank - Sunny Optical R Bear CBBC Oct 2020 A             | 40,000,000   | 2020/05/19 | 2020/10/19 | 11.60          |
| 64725    | HK Bank - Tencent R Bull CBBC Oct 2020 I                   | 40,000,000   | 2020/05/19 | 2020/10/12 | 10.00          |
| 64773    | HK Bank - Tencent R Bull CBBC Nov 2020 C                   | 40,000,000   | 2020/05/19 | 2020/11/16 | 10.00          |
| 64772    | HK Bank - Tencent R Bear CBBC Oct 2020 B                   | 40,000,000   | 2020/05/19 | 2020/10/19 | 10.00          |
| 64766    | HK Bank - Tencent R Bear CBBC Nov 2020 B                   | 100,000,000  | 2020/05/19 | 2020/11/16 | 25.00          |
| 64750    | HK Bank - WuXi Bio R Bull CBBC Oct 2020 A                  | 40,000,000   | 2020/05/19 | 2020/10/19 | 10.00          |
| 65438    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 Z             | 200,000,000  | 2020/05/19 | 2022/10/28 | 50.00          |
| 65446    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 B             | 200,000,000  | 2020/05/19 | 2022/12/29 | 50.00          |
| 65437    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 I             | 150,000,000  | 2020/05/19 | 2023/03/30 | 37.50          |
| 65443    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 H             | 150,000,000  | 2020/05/19 | 2020/10/29 | 37.50          |
| 65439    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 Q             | 200,000,000  | 2020/05/19 | 2021/01/28 | 50.00          |
| 65473    | Haitong Int'l Sec - Tencent R Bull CBBC Nov 2020 O         | 60,000,000   | 2020/05/19 | 2020/11/23 | 15.00          |
| 65468    | Haitong Int'l Sec - Tencent R Bull CBBC Mar 2021 A         | 200,000,000  | 2020/05/19 | 2021/03/31 | 50.00          |
| 65447    | Haitong Int'l Sec - Tencent R Bear CBBC Dec 2020 G         | 80,000,000   | 2020/05/19 | 2020/12/30 | 32.56          |
| 65464    | Haitong Int'l Sec - Tencent R Bear CBBC Dec 2020 H         | 80,000,000   | 2020/05/19 | 2020/12/30 | 40.56          |
| 65469    | Haitong Int'l Sec - Xiaomi R Bull CBBC Nov 2020 A          | 60,000,000   | 2020/05/19 | 2020/11/23 | 15.00          |
| 65190    | J P Morgan SP BV - HSI R Bull CBBC Apr 2022 A              | 200,000,000  | 2020/05/19 | 2022/04/28 | 50.00          |
| 65100    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Z              | 200,000,000  | 2020/05/19 | 2023/02/27 | 50.00          |
| 65138    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 E              | 200,000,000  | 2020/05/19 | 2023/03/30 | 50.00          |
| 65125    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 J              | 200,000,000  | 2020/05/19 | 2023/03/30 | 50.00          |
| 65151    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 H              | 240,000,000  | 2020/05/19 | 2023/04/27 | 60.00          |
| 65191    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 L              | 240,000,000  | 2020/05/19 | 2020/10/29 | 60.00          |
| 65154    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 R              | 200,000,000  | 2020/05/19 | 2020/11/27 | 50.00          |
| 65157    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 S              | 200,000,000  | 2020/05/19 | 2020/11/27 | 50.00          |
| 65192    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 T              | 200,000,000  | 2020/05/19 | 2020/11/27 | 50.00          |
| 65187    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Oct 2020 B | 80,000,000   | 2020/05/19 | 2020/10/16 | 20.00          |
| 65185    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Nov 2020 B | 80,000,000   | 2020/05/19 | 2020/11/13 | 20.00          |
| 65178    | J P Morgan SP BV - Tencent R Bull CBBC Oct 2020 D          | 50,000,000   | 2020/05/19 | 2020/10/16 | 12.50          |
| 65484    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 H  | 150,000,000  | 2020/05/19 | 2023/02/27 | 37.50          |
| 65489    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 Y  | 150,000,000  | 2020/05/19 | 2020/09/29 | 37.50          |
| 65604    | SG Issuer - AAC Tech R Bull CBBC Dec 2020 K                | 100,000,000  | 2020/05/19 | 2020/12/30 | 25.00          |
| 65528    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 I           | 60,000,000   | 2020/05/19 | 2020/11/30 | 15.00          |
| 65611    | SG Issuer - ANTA Sports R Bull CBBC Nov 2020 A             | 60,000,000   | 2020/05/19 | 2020/11/30 | 15.00          |
| 65614    | SG Issuer - ANTA Sports R Bull CBBC Dec 2020 A             | 60,000,000   | 2020/05/19 | 2020/12/31 | 15.00          |
| 65615    | SG Issuer - ANTA Sports R Bull CBBC Feb 2021 A             | 60,000,000   | 2020/05/19 | 2021/02/25 | 15.00          |
| 65620    | SG Issuer - China Mobile R Bull CBBC Dec 2020 K            | 100,000,000  | 2020/05/19 | 2020/12/30 | 25.00          |
| 65727    | SG Issuer - HSI R Bull CBBC Nov 2022 D                     | 250,000,000  | 2020/05/19 | 2022/11/29 | 62.50          |
| 65567    | SG Issuer - HSI R Bull CBBC Apr 2023 K                     | 250,000,000  | 2020/05/19 | 2023/04/27 | 62.50          |

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| 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) |
|----------|--------------------------------------------------|--------------|------------|------------|----------------|
| 65576    | SG Issuer - HSI R Bull CBBC Apr 2023 L           | 250,000,000  | 2020/05/19 | 2023/04/27 | 62.50          |
| 65569    | SG Issuer - HSI R Bull CBBC Apr 2023 M           | 250,000,000  | 2020/05/19 | 2023/04/27 | 62.50          |
| 65578    | SG Issuer - HSI R Bull CBBC May 2023 X           | 250,000,000  | 2020/05/19 | 2023/05/30 | 62.50          |
| 65731    | SG Issuer - HSI R Bull CBBC May 2023 Y           | 250,000,000  | 2020/05/19 | 2023/05/30 | 62.50          |
| 65648    | SG Issuer - HSI R Bear CBBC Oct 2020 G           | 250,000,000  | 2020/05/19 | 2020/10/29 | 62.50          |
| 65687    | SG Issuer - HSI R Bear CBBC Oct 2020 H           | 250,000,000  | 2020/05/19 | 2020/10/29 | 62.50          |
| 65696    | SG Issuer - HSI R Bear CBBC Oct 2020 I           | 250,000,000  | 2020/05/19 | 2020/10/29 | 62.50          |
| 65640    | SG Issuer - HSI R Bear CBBC Jan 2021 T           | 250,000,000  | 2020/05/19 | 2021/01/28 | 62.50          |
| 65641    | SG Issuer - HSI R Bear CBBC Jan 2021 U           | 250,000,000  | 2020/05/19 | 2021/01/28 | 62.50          |
| 65531    | SG Issuer - Sunny Optical R Bull CBBC Dec 2020 Q | 60,000,000   | 2020/05/19 | 2020/12/30 | 15.00          |
| 65622    | SG Issuer - Sunny Optical R Bear CBBC Nov 2020 D | 60,000,000   | 2020/05/19 | 2020/11/27 | 15.00          |
| 65542    | SG Issuer - Tencent R Bull CBBC Nov 2020 I       | 80,000,000   | 2020/05/19 | 2020/11/27 | 20.00          |
| 65548    | SG Issuer - Tencent R Bull CBBC Nov 2020 J       | 80,000,000   | 2020/05/19 | 2020/11/30 | 20.00          |
| 65743    | SG Issuer - Tencent R Bull CBBC Nov 2020 K       | 80,000,000   | 2020/05/19 | 2020/11/30 | 20.00          |
| 65636    | SG Issuer - Tencent R Bear CBBC Dec 2020 A       | 80,000,000   | 2020/05/19 | 2020/12/30 | 20.00          |
| 65637    | SG Issuer - Tencent R Bear CBBC Jan 2021 J       | 80,000,000   | 2020/05/19 | 2021/01/28 | 20.00          |
| 65639    | SG Issuer - Tencent R Bear CBBC Jan 2021 K       | 80,000,000   | 2020/05/19 | 2021/01/28 | 20.00          |
| 65744    | SG Issuer - Tencent R Bear CBBC Mar 2021 D       | 80,000,000   | 2020/05/19 | 2021/03/31 | 39.60          |
| 65772    | SG Issuer - Tencent R Bear CBBC Apr 2021 C       | 200,000,000  | 2020/05/19 | 2021/04/30 | 50.00          |
| 65551    | SG Issuer - Xiaomi R Bear CBBC Dec 2020 C        | 60,000,000   | 2020/05/19 | 2020/12/30 | 15.00          |
| 65552    | SG Issuer - ZTE R Bull CBBC Dec 2020 A           | 60,000,000   | 2020/05/19 | 2020/12/30 | 15.00          |
| 65561    | SG Issuer - ZTE R Bull CBBC Feb 2021 A           | 60,000,000   | 2020/05/19 | 2021/02/25 | 15.00          |
| 64946    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 Z    | 80,000,000   | 2020/05/19 | 2020/12/15 | 24.00          |
| 65092    | UBS AG - Geely Auto R Bear CBBC Jun 2021 A       | 100,000,000  | 2020/05/19 | 2021/06/30 | 25.00          |
| 65060    | UBS AG - Galaxy Ent R Bear CBBC Dec 2020 I       | 60,000,000   | 2020/05/19 | 2020/12/31 | 15.00          |
| 65091    | UBS AG - HKEX R Bear CBBC Jan 2021 C             | 200,000,000  | 2020/05/19 | 2021/01/04 | 50.00          |
| 64991    | UBS AG - HSI R Bull CBBC Sep 2022 R              | 400,000,000  | 2020/05/19 | 2022/09/29 | 100.00         |
| 64995    | UBS AG - HSI R Bull CBBC Sep 2022 X              | 400,000,000  | 2020/05/19 | 2022/09/29 | 100.00         |
| 64849    | UBS AG - HSI R Bull CBBC Oct 2022 F              | 200,000,000  | 2020/05/19 | 2022/10/28 | 50.00          |
| 64850    | UBS AG - HSI R Bull CBBC Oct 2022 P              | 400,000,000  | 2020/05/19 | 2022/10/28 | 100.00         |
| 64863    | UBS AG - HSI R Bull CBBC Oct 2022 Q              | 200,000,000  | 2020/05/19 | 2022/10/28 | 50.00          |
| 64872    | UBS AG - HSI R Bull CBBC Oct 2022 W              | 200,000,000  | 2020/05/19 | 2022/10/28 | 50.00          |
| 64896    | UBS AG - HSI R Bear CBBC Sep 2020 L              | 200,000,000  | 2020/05/19 | 2020/09/29 | 50.00          |
| 64906    | UBS AG - HSI R Bear CBBC Sep 2020 S              | 200,000,000  | 2020/05/19 | 2020/09/29 | 50.00          |
| 64894    | UBS AG - HSI R Bear CBBC Sep 2020 X              | 200,000,000  | 2020/05/19 | 2020/09/29 | 50.00          |
| 65018    | UBS AG - HSI R Bear CBBC Dec 2020 G              | 200,000,000  | 2020/05/19 | 2020/12/30 | 50.00          |
| 65006    | UBS AG - HSI R Bear CBBC Dec 2020 W              | 200,000,000  | 2020/05/19 | 2020/12/30 | 50.00          |
| 65010    | UBS AG - HSI R Bear CBBC Dec 2020 X              | 200,000,000  | 2020/05/19 | 2020/12/30 | 50.00          |
| 64982    | UBS AG - Meituan Dianping R Bear CBBC Jun 2021 A | 150,000,000  | 2020/05/19 | 2021/06/30 | 37.50          |
| 65090    | UBS AG - Sands China R Bear CBBC Dec 2020 A      | 60,000,000   | 2020/05/19 | 2020/12/31 | 15.00          |
| 65030    | UBS AG - SMIC R Bull CBBC Jun 2021 A             | 100,000,000  | 2020/05/19 | 2021/06/30 | 25.00          |
| 64879    | UBS AG - Tencent R Bull CBBC Mar 2021 A          | 40,000,000   | 2020/05/19 | 2021/03/01 | 10.00          |
| 64883    | UBS AG - Tencent R Bull CBBC Mar 2021 B          | 200,000,000  | 2020/05/19 | 2021/03/02 | 50.00          |
| 64909    | UBS AG - Tencent R Bear CBBC Jan 2021 C          | 40,000,000   | 2020/05/19 | 2021/01/26 | 24.80          |
| 64921    | UBS AG - Tencent R Bear CBBC Jan 2021 D          | 40,000,000   | 2020/05/19 | 2021/01/04 | 10.00          |



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|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 64922    | UBS AG - Tencent R Bear CBBC Jan 2021 E                     | 40,000,000   | 2020/05/19 | 2021/01/05 | 10.00          |
| 64928    | UBS AG - Tencent R Bear CBBC Jan 2021 F                     | 200,000,000  | 2020/05/19 | 2021/01/18 | 50.00          |
| 64937    | UBS AG - Tencent R Bear CBBC Jan 2021 G                     | 200,000,000  | 2020/05/19 | 2021/01/25 | 50.00          |
| 65522    | Bank Vontobel - China Mobile R Bear CBBC Dec 2020 G         | 40,000,000   | 2020/05/19 | 2020/12/11 | 10.00          |
| 65525    | Bank Vontobel - ICBC R Bear CBBC Dec 2020 C                 | 40,000,000   | 2020/05/19 | 2020/12/18 | 10.00          |
| 65500    | Bank Vontobel - Tencent R Bull CBBC Feb 2021 C              | 40,000,000   | 2020/05/19 | 2021/02/19 | 10.00          |
| 65527    | Bank Vontobel - Xiaomi R Bull CBBC Jan 2021 B               | 40,000,000   | 2020/05/19 | 2021/01/15 | 10.00          |
| 66593    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 I       | 60,000,000   | 2020/05/20 | 2020/12/31 | 15.00          |
| 66607    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 J       | 60,000,000   | 2020/05/20 | 2020/12/31 | 15.00          |
| 66611    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 E       | 60,000,000   | 2020/05/20 | 2020/12/31 | 15.00          |
| 66592    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 M                 | 150,000,000  | 2020/05/20 | 2023/01/30 | 37.50          |
| 66080    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 N    | 40,000,000   | 2020/05/20 | 2020/12/30 | 10.00          |
| 66085    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 H    | 40,000,000   | 2020/05/20 | 2020/12/30 | 10.00          |
| 66095    | BOCI Asia Ltd. - Sunny Optical R Bull CBBC Dec 2020 B       | 40,000,000   | 2020/05/20 | 2020/12/30 | 10.00          |
| 65993    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 D             | 40,000,000   | 2020/05/20 | 2020/12/30 | 10.00          |
| 65994    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 E             | 40,000,000   | 2020/05/20 | 2020/12/30 | 10.00          |
| 65995    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 T             | 40,000,000   | 2020/05/20 | 2020/12/30 | 11.20          |
| 66015    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 U             | 40,000,000   | 2020/05/20 | 2020/12/30 | 17.20          |
| 66249    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 F     | 50,000,000   | 2020/05/20 | 2020/11/27 | 12.50          |
| 66250    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 G     | 50,000,000   | 2020/05/20 | 2020/11/27 | 12.50          |
| 66252    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 F      | 140,000,000  | 2020/05/20 | 2022/10/28 | 35.00          |
| 66253    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 R      | 250,000,000  | 2020/05/20 | 2020/12/30 | 62.50          |
| 66221    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 W  | 50,000,000   | 2020/05/20 | 2020/12/30 | 12.50          |
| 66226    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 X  | 50,000,000   | 2020/05/20 | 2020/12/30 | 12.50          |
| 66241    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 F  | 50,000,000   | 2020/05/20 | 2020/11/27 | 12.50          |
| 66245    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 G  | 50,000,000   | 2020/05/20 | 2020/11/27 | 15.00          |
| 66248    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 H  | 50,000,000   | 2020/05/20 | 2020/11/27 | 20.00          |
| 66415    | Credit Suisse AG - Alibaba Group R Bull CBBC Oct 2020 H     | 50,000,000   | 2020/05/20 | 2020/10/29 | 12.50          |
| 66488    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 D               | 200,000,000  | 2020/05/20 | 2022/10/28 | 50.00          |
| 66500    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 E               | 200,000,000  | 2020/05/20 | 2023/01/30 | 50.00          |
| 66485    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 I               | 200,000,000  | 2020/05/20 | 2023/02/27 | 50.00          |
| 66502    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 R               | 200,000,000  | 2020/05/20 | 2020/10/29 | 50.00          |
| 66506    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 X               | 200,000,000  | 2020/05/20 | 2020/10/29 | 50.00          |
| 66471    | Credit Suisse AG - Meituan Dianping R Bull CBBC Oct 2020 F  | 80,000,000   | 2020/05/20 | 2020/10/29 | 20.00          |
| 66472    | Credit Suisse AG - Meituan Dianping R Bear CBBC Dec 2020 C  | 60,000,000   | 2020/05/20 | 2020/12/30 | 15.00          |
| 66523    | Credit Suisse AG - Ping An R Bear CBBC Aug 2020 A           | 80,000,000   | 2020/05/20 | 2020/08/28 | 20.00          |
| 66466    | Credit Suisse AG - SUNAC R Bear CBBC Dec 2020 A             | 50,000,000   | 2020/05/20 | 2020/12/30 | 12.50          |
| 66477    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 M           | 50,000,000   | 2020/05/20 | 2020/10/29 | 12.50          |
| 66507    | Credit Suisse AG - Xiaomi R Bull CBBC Oct 2020 E            | 50,000,000   | 2020/05/20 | 2020/10/29 | 12.50          |
| 66913    | Goldman Sachs SP (Asia) - Galaxy Ent R Bull CBBC Mar 2021 B | 60,000,000   | 2020/05/20 | 2021/03/01 | 15.00          |
| 66876    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 J        | 160,000,000  | 2020/05/20 | 2023/04/27 | 40.00          |
| 66893    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 N        | 160,000,000  | 2020/05/20 | 2023/04/27 | 40.00          |
| 66896    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 O        | 160,000,000  | 2020/05/20 | 2023/04/27 | 40.00          |
| 66901    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 X        | 160,000,000  | 2020/05/20 | 2023/05/30 | 40.00          |
| 66851    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 E        | 160,000,000  | 2020/05/20 | 2020/08/28 | 40.00          |

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|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 66883    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 T        | 160,000,000  | 2020/05/20 | 2021/01/28 | 40.00          |
| 66890    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 U        | 160,000,000  | 2020/05/20 | 2021/01/28 | 40.00          |
| 66907    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Dec 2020 F    | 60,000,000   | 2020/05/20 | 2020/12/30 | 15.00          |
| 66903    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Mar 2021 A    | 60,000,000   | 2020/05/20 | 2021/03/31 | 15.00          |
| 66904    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 F    | 60,000,000   | 2020/05/20 | 2020/10/30 | 15.00          |
| 66905    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Nov 2020 A    | 60,000,000   | 2020/05/20 | 2020/11/27 | 15.00          |
| 66908    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Nov 2020 C     | 60,000,000   | 2020/05/20 | 2020/11/27 | 15.00          |
| 66024    | HK Bank - China Mobile R Bear CBBC Oct 2020 A               | 40,000,000   | 2020/05/20 | 2020/10/12 | 10.00          |
| 66025    | HK Bank - HKEX R Bull CBBC Nov 2020 E                       | 40,000,000   | 2020/05/20 | 2020/11/05 | 10.00          |
| 66026    | HK Bank - HSI R Bull CBBC Sep 2022 Z                        | 100,000,000  | 2020/05/20 | 2022/09/29 | 25.00          |
| 66029    | HK Bank - HSI R Bear CBBC Sep 2020 Z                        | 80,000,000   | 2020/05/20 | 2020/09/29 | 20.00          |
| 66073    | HK Bank - Meituan Dianping R Bull CBBC Nov 2020 B           | 40,000,000   | 2020/05/20 | 2020/11/16 | 10.00          |
| 66074    | HK Bank - Meituan Dianping R Bear CBBC Nov 2020 B           | 40,000,000   | 2020/05/20 | 2020/11/02 | 10.00          |
| 66036    | HK Bank - Tencent R Bull CBBC Nov 2020 D                    | 40,000,000   | 2020/05/20 | 2020/11/05 | 10.00          |
| 66037    | HK Bank - Tencent R Bear CBBC Nov 2020 C                    | 100,000,000  | 2020/05/20 | 2020/11/19 | 25.00          |
| 66551    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 E              | 200,000,000  | 2020/05/20 | 2022/12/29 | 50.00          |
| 66524    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 I              | 200,000,000  | 2020/05/20 | 2020/10/29 | 50.00          |
| 66553    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 R              | 150,000,000  | 2020/05/20 | 2021/01/28 | 37.50          |
| 66583    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Sep 2020 D | 100,000,000  | 2020/05/20 | 2020/09/23 | 25.00          |
| 66588    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Dec 2020 C | 100,000,000  | 2020/05/20 | 2020/12/30 | 26.00          |
| 66576    | Haitong Int'l Sec - Tencent R Bull CBBC Nov 2020 P          | 100,000,000  | 2020/05/20 | 2020/11/23 | 25.00          |
| 66304    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 X               | 200,000,000  | 2020/05/20 | 2023/01/30 | 50.00          |
| 66374    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 K               | 200,000,000  | 2020/05/20 | 2023/03/30 | 50.00          |
| 66361    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 I               | 200,000,000  | 2020/05/20 | 2023/04/27 | 50.00          |
| 66391    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 V               | 200,000,000  | 2020/05/20 | 2020/11/27 | 50.00          |
| 66311    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 B               | 200,000,000  | 2020/05/20 | 2020/12/30 | 50.00          |
| 66379    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 H               | 200,000,000  | 2020/05/20 | 2021/01/28 | 50.00          |
| 66397    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 I               | 200,000,000  | 2020/05/20 | 2021/01/28 | 50.00          |
| 66334    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Nov 2020 A  | 80,000,000   | 2020/05/20 | 2020/11/13 | 20.00          |
| 66360    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Oct 2020 A  | 80,000,000   | 2020/05/20 | 2020/10/16 | 23.60          |
| 66317    | J P Morgan SP BV - Tencent R Bear CBBC Nov 2020 B           | 50,000,000   | 2020/05/20 | 2020/11/13 | 27.50          |
| 66660    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 E   | 150,000,000  | 2020/05/20 | 2022/11/29 | 37.50          |
| 66657    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 N   | 150,000,000  | 2020/05/20 | 2023/01/30 | 37.50          |
| 66675    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 U            | 60,000,000   | 2020/05/20 | 2020/10/30 | 15.00          |
| 66678    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 V            | 60,000,000   | 2020/05/20 | 2020/10/30 | 15.00          |
| 66680    | SG Issuer - HKEX R Bear CBBC Dec 2020 G                     | 50,000,000   | 2020/05/20 | 2020/12/28 | 12.50          |
| 66765    | SG Issuer - HSI R Bull CBBC Jan 2023 Y                      | 250,000,000  | 2020/05/20 | 2023/01/30 | 62.50          |
| 66770    | SG Issuer - HSI R Bull CBBC Feb 2023 T                      | 250,000,000  | 2020/05/20 | 2023/02/27 | 62.50          |
| 66722    | SG Issuer - HSI R Bull CBBC Apr 2023 N                      | 250,000,000  | 2020/05/20 | 2023/04/27 | 62.50          |
| 66830    | SG Issuer - HSI R Bull CBBC May 2023 C                      | 250,000,000  | 2020/05/20 | 2023/05/30 | 62.50          |
| 66736    | SG Issuer - HSI R Bull CBBC May 2023 Z                      | 500,000,000  | 2020/05/20 | 2023/05/30 | 125.00         |
| 66771    | SG Issuer - HSI R Bear CBBC Sep 2020 B                      | 250,000,000  | 2020/05/20 | 2020/09/29 | 62.50          |
| 66772    | SG Issuer - HSI R Bear CBBC Oct 2020 E                      | 250,000,000  | 2020/05/20 | 2020/10/29 | 62.50          |
| 66773    | SG Issuer - HSI R Bear CBBC Nov 2020 F                      | 250,000,000  | 2020/05/20 | 2020/11/27 | 62.50          |
| 66776    | SG Issuer - HSI R Bear CBBC Dec 2020 W                      | 250,000,000  | 2020/05/20 | 2020/12/30 | 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 66831    | SG Issuer - Meituan Dianping R Bull CBBC Oct 2020 L     | 100,000,000  | 2020/05/20 | 2020/10/30 | 25.00          |
| 66845    | SG Issuer - Meituan Dianping R Bull CBBC Nov 2020 M     | 100,000,000  | 2020/05/20 | 2020/11/30 | 25.00          |
| 66684    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 J     | 100,000,000  | 2020/05/20 | 2020/12/30 | 25.00          |
| 66688    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 K     | 100,000,000  | 2020/05/20 | 2020/12/30 | 25.00          |
| 66846    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 A     | 100,000,000  | 2020/05/20 | 2021/02/25 | 36.00          |
| 66740    | SG Issuer - Sunny Optical R Bull CBBC Nov 2020 C        | 60,000,000   | 2020/05/20 | 2020/11/30 | 15.00          |
| 66741    | SG Issuer - Tencent R Bull CBBC Aug 2020 R              | 80,000,000   | 2020/05/20 | 2020/08/31 | 20.00          |
| 66742    | SG Issuer - Tencent R Bull CBBC Sep 2020 J              | 80,000,000   | 2020/05/20 | 2020/09/30 | 20.40          |
| 66759    | SG Issuer - Tencent R Bull CBBC Oct 2020 C              | 80,000,000   | 2020/05/20 | 2020/10/30 | 20.00          |
| 66761    | SG Issuer - Tencent R Bull CBBC Nov 2020 L              | 80,000,000   | 2020/05/20 | 2020/11/30 | 20.00          |
| 66689    | SG Issuer - Tencent R Bear CBBC Dec 2020 G              | 200,000,000  | 2020/05/20 | 2020/12/30 | 50.00          |
| 66715    | SG Issuer - Tencent R Bear CBBC Feb 2021 R              | 80,000,000   | 2020/05/20 | 2021/02/26 | 20.00          |
| 66718    | SG Issuer - Xiaomi R Bull CBBC Nov 2020 F               | 60,000,000   | 2020/05/20 | 2020/11/30 | 15.00          |
| 66763    | SG Issuer - ZTE R Bull CBBC Feb 2021 B                  | 60,000,000   | 2020/05/20 | 2021/02/25 | 15.00          |
| 66121    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 B           | 80,000,000   | 2020/05/20 | 2020/12/17 | 20.00          |
| 66170    | UBS AG - HKEX R Bull CBBC Feb 2021 A                    | 50,000,000   | 2020/05/20 | 2021/02/09 | 12.50          |
| 66177    | UBS AG - HKEX R Bear CBBC Feb 2021 B                    | 50,000,000   | 2020/05/20 | 2021/02/09 | 21.50          |
| 66122    | UBS AG - HSI R Bull CBBC Apr 2023 R                     | 200,000,000  | 2020/05/20 | 2023/04/27 | 50.00          |
| 66125    | UBS AG - HSI R Bull CBBC Apr 2023 S                     | 200,000,000  | 2020/05/20 | 2023/04/27 | 50.00          |
| 66130    | UBS AG - HSI R Bull CBBC Apr 2023 T                     | 200,000,000  | 2020/05/20 | 2023/04/27 | 50.00          |
| 66134    | UBS AG - HSI R Bull CBBC Apr 2023 U                     | 200,000,000  | 2020/05/20 | 2023/04/27 | 50.00          |
| 66168    | UBS AG - HSI R Bear CBBC Sep 2020 W                     | 200,000,000  | 2020/05/20 | 2020/09/29 | 50.00          |
| 66136    | UBS AG - HSI R Bear CBBC Oct 2020 K                     | 200,000,000  | 2020/05/20 | 2020/10/29 | 50.00          |
| 66143    | UBS AG - HSI R Bear CBBC Oct 2020 M                     | 400,000,000  | 2020/05/20 | 2020/10/29 | 100.00         |
| 66151    | UBS AG - HSI R Bear CBBC Oct 2020 X                     | 300,000,000  | 2020/05/20 | 2020/10/29 | 75.00          |
| 66164    | UBS AG - Meituan Dianping R Bull CBBC Feb 2021 C        | 50,000,000   | 2020/05/20 | 2021/02/22 | 12.50          |
| 66167    | UBS AG - Meituan Dianping R Bull CBBC Dec 2021 A        | 200,000,000  | 2020/05/20 | 2021/12/31 | 50.00          |
| 66101    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 T        | 50,000,000   | 2020/05/20 | 2020/12/09 | 12.50          |
| 66103    | UBS AG - Tencent R Bull CBBC Feb 2021 I                 | 40,000,000   | 2020/05/20 | 2021/02/09 | 10.00          |
| 66113    | UBS AG - Tencent R Bull CBBC Feb 2021 J                 | 40,000,000   | 2020/05/20 | 2021/02/10 | 10.00          |
| 66118    | UBS AG - Tencent R Bull CBBC Feb 2021 K                 | 40,000,000   | 2020/05/20 | 2021/02/22 | 10.00          |
| 66099    | UBS AG - Tencent R Bear CBBC Dec 2020 Z                 | 200,000,000  | 2020/05/20 | 2020/12/22 | 50.00          |
| 66198    | UBS AG - Tencent R Bear CBBC Feb 2021 A                 | 40,000,000   | 2020/05/20 | 2021/02/09 | 15.60          |
| 66205    | UBS AG - Tencent R Bear CBBC Feb 2021 B                 | 40,000,000   | 2020/05/20 | 2021/02/10 | 23.60          |
| 66216    | UBS AG - Tencent R Bear CBBC Feb 2021 C                 | 40,000,000   | 2020/05/20 | 2021/02/22 | 33.60          |
| 66615    | Bank Vontobel - CSOP A50 ETF R Bull CBBC Apr 2021 B     | 40,000,000   | 2020/05/20 | 2021/04/23 | 10.00          |
| 66616    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 H | 60,000,000   | 2020/05/20 | 2021/01/15 | 15.00          |
| 66617    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 I | 60,000,000   | 2020/05/20 | 2021/01/08 | 15.00          |
| 66622    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 A | 60,000,000   | 2020/05/20 | 2021/02/19 | 15.00          |
| 66633    | Bank Vontobel - Meituan Dianping R Bear CBBC Dec 2020 V | 60,000,000   | 2020/05/20 | 2020/12/18 | 21.00          |
| 66613    | Bank Vontobel - Tencent R Bull CBBC Mar 2021 A          | 40,000,000   | 2020/05/20 | 2021/03/05 | 10.00          |
| 66637    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 U          | 40,000,000   | 2020/05/20 | 2020/12/18 | 10.00          |
| 67252    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 N             | 150,000,000  | 2020/05/21 | 2023/01/30 | 37.50          |
| 67267    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 C             | 150,000,000  | 2020/05/21 | 2020/10/29 | 37.50          |
| 67274    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 V         | 40,000,000   | 2020/05/21 | 2020/12/30 | 10.00          |

# 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 67300    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 W            | 40,000,000   | 2020/05/21 | 2020/12/30 | 10.80          |
| 66932    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 G     | 150,000,000  | 2020/05/21 | 2022/10/28 | 37.50          |
| 66941    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 H     | 150,000,000  | 2020/05/21 | 2022/10/28 | 37.50          |
| 66943    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 I     | 150,000,000  | 2020/05/21 | 2022/10/28 | 37.50          |
| 67740    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 E     | 250,000,000  | 2020/05/21 | 2020/12/30 | 62.50          |
| 67756    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 F     | 250,000,000  | 2020/05/21 | 2020/12/30 | 62.50          |
| 67781    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 G     | 240,000,000  | 2020/05/21 | 2020/12/30 | 60.00          |
| 67703    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 V     | 250,000,000  | 2020/05/21 | 2020/12/30 | 62.50          |
| 67732    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 X     | 250,000,000  | 2020/05/21 | 2020/12/30 | 62.50          |
| 67738    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Y     | 250,000,000  | 2020/05/21 | 2020/12/30 | 62.50          |
| 67739    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Z     | 250,000,000  | 2020/05/21 | 2020/12/30 | 62.50          |
| 68174    | Credit Suisse AG - Alibaba Group R Bull CBBC Sep 2020 I    | 50,000,000   | 2020/05/21 | 2020/09/29 | 12.50          |
| 68143    | Credit Suisse AG - Galaxy Ent R Bear CBBC Oct 2020 H       | 100,000,000  | 2020/05/21 | 2020/10/29 | 25.00          |
| 68142    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 R              | 200,000,000  | 2020/05/21 | 2022/12/29 | 50.00          |
| 68115    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 H              | 200,000,000  | 2020/05/21 | 2023/01/30 | 50.00          |
| 68132    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 J              | 200,000,000  | 2020/05/21 | 2023/02/27 | 50.00          |
| 68135    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 K              | 200,000,000  | 2020/05/21 | 2023/02/27 | 50.00          |
| 68204    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 B              | 200,000,000  | 2020/05/21 | 2020/10/29 | 50.00          |
| 68205    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 K              | 200,000,000  | 2020/05/21 | 2020/10/29 | 50.00          |
| 68211    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 J              | 200,000,000  | 2020/05/21 | 2020/11/27 | 50.00          |
| 68229    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 W              | 300,000,000  | 2020/05/21 | 2020/12/30 | 75.00          |
| 68159    | Credit Suisse AG - Meituan Dianping R Bull CBBC Nov 2020 D | 80,000,000   | 2020/05/21 | 2020/11/27 | 20.00          |
| 68250    | Credit Suisse AG - SMIC R Bull CBBC Dec 2020 A             | 100,000,000  | 2020/05/21 | 2020/12/30 | 25.00          |
| 68158    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 C             | 100,000,000  | 2020/05/21 | 2021/01/28 | 25.00          |
| 68258    | Credit Suisse AG - SMIC R Bear CBBC Nov 2020 A             | 50,000,000   | 2020/05/21 | 2020/11/27 | 12.50          |
| 68263    | Credit Suisse AG - SMIC R Bear CBBC Dec 2020 A             | 50,000,000   | 2020/05/21 | 2020/12/30 | 12.50          |
| 68148    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 N          | 50,000,000   | 2020/05/21 | 2020/10/29 | 12.50          |
| 68149    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 O          | 50,000,000   | 2020/05/21 | 2020/10/29 | 12.50          |
| 68153    | Credit Suisse AG - Tencent R Bear CBBC Sep 2020 H          | 50,000,000   | 2020/05/21 | 2020/09/29 | 12.50          |
| 68155    | Credit Suisse AG - ZTE R Bull CBBC Dec 2020 A              | 60,000,000   | 2020/05/21 | 2020/12/30 | 15.00          |
| 68323    | Goldman Sachs SP (Asia) - HSBC R Bull CBBC Mar 2021 A      | 60,000,000   | 2020/05/21 | 2021/03/30 | 15.00          |
| 68399    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Dec 2022 M       | 160,000,000  | 2020/05/21 | 2022/12/29 | 40.00          |
| 68275    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 P       | 160,000,000  | 2020/05/21 | 2023/04/27 | 40.00          |
| 68394    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 Q       | 160,000,000  | 2020/05/21 | 2023/04/27 | 40.00          |
| 68407    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 R       | 160,000,000  | 2020/05/21 | 2023/04/27 | 40.00          |
| 68264    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 Y       | 160,000,000  | 2020/05/21 | 2023/05/30 | 40.00          |
| 68274    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 Z       | 160,000,000  | 2020/05/21 | 2023/05/30 | 40.00          |
| 68388    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 H       | 160,000,000  | 2020/05/21 | 2020/08/28 | 40.00          |
| 68393    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 C       | 160,000,000  | 2020/05/21 | 2021/01/28 | 40.00          |
| 68392    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 Q       | 160,000,000  | 2020/05/21 | 2021/01/28 | 40.00          |
| 68389    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 V       | 160,000,000  | 2020/05/21 | 2021/01/28 | 40.00          |
| 68341    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Nov 2020 F   | 60,000,000   | 2020/05/21 | 2020/11/27 | 15.00          |
| 68279    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Mar 2021 B   | 60,000,000   | 2020/05/21 | 2021/03/31 | 15.00          |
| 68287    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 H   | 60,000,000   | 2020/05/21 | 2020/10/30 | 15.00          |
| 68307    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Nov 2020 B   | 60,000,000   | 2020/05/21 | 2020/11/27 | 15.00          |

# 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 68347    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Oct 2020 A     | 60,000,000   | 2020/05/21 | 2020/10/30 | 15.00          |
| 68361    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Jun 2021 C     | 80,000,000   | 2020/05/21 | 2021/06/30 | 20.00          |
| 66957    | HK Bank - HKEX R Bear CBBC Oct 2020 C                        | 100,000,000  | 2020/05/21 | 2020/10/12 | 25.00          |
| 66946    | HK Bank - HSI R Bull CBBC Sep 2022 A                         | 100,000,000  | 2020/05/21 | 2022/09/29 | 25.00          |
| 66959    | HK Bank - HSI R Bear CBBC Sep 2020 A                         | 60,000,000   | 2020/05/21 | 2020/09/29 | 15.00          |
| 66985    | HK Bank - Meituan Dianping R Bull CBBC Oct 2020 D            | 40,000,000   | 2020/05/21 | 2020/10/12 | 10.00          |
| 66967    | HK Bank - SMIC R Bull CBBC Oct 2020 C                        | 40,000,000   | 2020/05/21 | 2020/10/12 | 10.00          |
| 67006    | HK Bank - SMIC R Bear CBBC Nov 2020 C                        | 40,000,000   | 2020/05/21 | 2020/11/02 | 10.00          |
| 67011    | HK Bank - Tencent R Bear CBBC Oct 2020 C                     | 40,000,000   | 2020/05/21 | 2020/10/05 | 10.00          |
| 66983    | HK Bank - Tencent R Bear CBBC Nov 2020 D                     | 100,000,000  | 2020/05/21 | 2020/11/02 | 25.00          |
| 67785    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 C               | 150,000,000  | 2020/05/21 | 2022/10/28 | 37.50          |
| 67784    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 J               | 150,000,000  | 2020/05/21 | 2023/03/30 | 37.50          |
| 67844    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 W               | 200,000,000  | 2020/05/21 | 2020/12/30 | 50.00          |
| 67848    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 X               | 200,000,000  | 2020/05/21 | 2020/12/30 | 50.00          |
| 67850    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 Y               | 150,000,000  | 2020/05/21 | 2020/12/30 | 45.00          |
| 67819    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Sep 2020 E  | 100,000,000  | 2020/05/21 | 2020/09/30 | 25.00          |
| 67818    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Dec 2020 D  | 100,000,000  | 2020/05/21 | 2020/12/30 | 25.00          |
| 67836    | Haitong Int'l Sec - SMIC R Bull CBBC Jan 2021 A              | 100,000,000  | 2020/05/21 | 2021/01/28 | 25.00          |
| 67841    | Haitong Int'l Sec - SMIC R Bear CBBC Jan 2021 A              | 100,000,000  | 2020/05/21 | 2021/01/28 | 25.00          |
| 67788    | Haitong Int'l Sec - Tencent R Bear CBBC Dec 2020 I           | 100,000,000  | 2020/05/21 | 2020/12/30 | 25.00          |
| 67633    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 L                | 200,000,000  | 2020/05/21 | 2023/02/27 | 50.00          |
| 67544    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 P                | 200,000,000  | 2020/05/21 | 2023/02/27 | 50.00          |
| 67546    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 V                | 200,000,000  | 2020/05/21 | 2023/02/27 | 50.00          |
| 67555    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 L                | 200,000,000  | 2020/05/21 | 2023/03/30 | 50.00          |
| 67592    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 J                | 200,000,000  | 2020/05/21 | 2023/04/27 | 50.00          |
| 67603    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 A                | 200,000,000  | 2020/05/21 | 2023/09/28 | 50.00          |
| 67664    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 A                | 200,000,000  | 2020/05/21 | 2020/11/27 | 50.00          |
| 67634    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 P                | 200,000,000  | 2020/05/21 | 2020/12/30 | 50.00          |
| 67675    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 T                | 200,000,000  | 2020/05/21 | 2020/12/30 | 50.00          |
| 67678    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 J                | 200,000,000  | 2020/05/21 | 2021/01/28 | 50.00          |
| 67583    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Nov 2020 B   | 80,000,000   | 2020/05/21 | 2020/11/13 | 20.00          |
| 67581    | J P Morgan SP BV - Tencent R Bull CBBC Nov 2020 B            | 50,000,000   | 2020/05/21 | 2020/11/13 | 12.50          |
| 67582    | J P Morgan SP BV - Tencent R Bear CBBC Oct 2020 B            | 50,000,000   | 2020/05/21 | 2020/10/09 | 12.50          |
| 67541    | J P Morgan SP BV - Tencent R Bear CBBC Nov 2020 C            | 50,000,000   | 2020/05/21 | 2020/11/13 | 12.50          |
| 67106    | Morgan Stanley Asia Products - Alibaba R Bull CBBC Dec2020 D | 40,000,000   | 2020/05/21 | 2020/12/30 | 10.00          |
| 67166    | Morgan Stanley Asia Products - Alibaba R Bull CBBC Dec2020 E | 40,000,000   | 2020/05/21 | 2020/12/16 | 10.00          |
| 67105    | Morgan Stanley Asia Products - Alibaba R Bull CBBC Jan2021 C | 40,000,000   | 2020/05/21 | 2021/01/13 | 10.00          |
| 67188    | Morgan Stanley Asia Products - Alibaba R Bull CBBC Feb2021 C | 40,000,000   | 2020/05/21 | 2021/02/26 | 10.00          |
| 67180    | Morgan Stanley Asia Products - Alibaba R Bull CBBC Mar2021 B | 40,000,000   | 2020/05/21 | 2021/03/10 | 10.00          |
| 67107    | Morgan Stanley Asia Products - Alibaba R Bear CBBC Feb2021 A | 40,000,000   | 2020/05/21 | 2021/02/01 | 10.00          |
| 67019    | Morgan Stanley Asia Products - HKEX R Bull CBBC Dec 2020 A   | 40,000,000   | 2020/05/21 | 2020/12/07 | 10.00          |
| 67020    | Morgan Stanley Asia Products - HKEX R Bull CBBC Jan 2021 A   | 40,000,000   | 2020/05/21 | 2021/01/07 | 10.00          |
| 67016    | Morgan Stanley Asia Products - HSBC R Bull CBBC Jun 2021 A   | 40,000,000   | 2020/05/21 | 2021/06/30 | 10.00          |
| 67017    | Morgan Stanley Asia Products - HSBC R Bear CBBC Apr 2021 A   | 40,000,000   | 2020/05/21 | 2021/04/29 | 10.00          |
| 67697    | Morgan Stanley Asia Products - HSI R Bull CBBC Dec 2022 E    | 150,000,000  | 2020/05/21 | 2022/12/29 | 37.50          |

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| 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 67685    | Morgan Stanley Asia Products - HSI R Bear CBBC Aug 2020 Z    | 150,000,000  | 2020/05/21 | 2020/08/28 | 37.50          |
| 67684    | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 F    | 200,000,000  | 2020/05/21 | 2020/11/27 | 50.00          |
| 67051    | Morgan Stanley Asia Products - Meituan R Bull CBBC Nov2020 A | 50,000,000   | 2020/05/21 | 2020/11/16 | 12.50          |
| 67034    | Morgan Stanley Asia Products - Meituan R Bull CBBC Dec2020 B | 50,000,000   | 2020/05/21 | 2020/12/30 | 12.50          |
| 67094    | Morgan Stanley Asia Products - Meituan R Bull CBBC Dec2020 C | 50,000,000   | 2020/05/21 | 2020/12/18 | 17.20          |
| 67075    | Morgan Stanley Asia Products - Meituan R Bear CBBC Dec2020 G | 50,000,000   | 2020/05/21 | 2020/12/10 | 12.50          |
| 67093    | Morgan Stanley Asia Products - Meituan R Bear CBBC Jan2021 A | 50,000,000   | 2020/05/21 | 2021/01/28 | 12.50          |
| 67064    | Morgan Stanley Asia Products - Meituan R Bear CBBC Mar2021 A | 50,000,000   | 2020/05/21 | 2021/03/30 | 12.50          |
| 67101    | Morgan Stanley Asia Products - Xiaomi R Bull CBBC Dec 2020 D | 40,000,000   | 2020/05/21 | 2020/12/01 | 10.00          |
| 67102    | Morgan Stanley Asia Products - Xiaomi R Bull CBBC Dec 2020 E | 40,000,000   | 2020/05/21 | 2020/12/10 | 10.00          |
| 67100    | Morgan Stanley Asia Products - Xiaomi R Bull CBBC Jan 2021 A | 40,000,000   | 2020/05/21 | 2021/01/20 | 10.00          |
| 67104    | Morgan Stanley Asia Products - Xiaomi R Bear CBBC Feb 2021 A | 40,000,000   | 2020/05/21 | 2021/02/08 | 10.00          |
| 67853    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 J             | 60,000,000   | 2020/05/21 | 2020/11/30 | 15.00          |
| 67854    | SG Issuer - China Mobile R Bear CBBC Nov 2020 C              | 100,000,000  | 2020/05/21 | 2020/11/27 | 25.00          |
| 67938    | SG Issuer - HSI R Bull CBBC Jan 2023 W                       | 250,000,000  | 2020/05/21 | 2023/01/30 | 62.50          |
| 67942    | SG Issuer - HSI R Bull CBBC Jan 2023 X                       | 250,000,000  | 2020/05/21 | 2023/01/30 | 62.50          |
| 67968    | SG Issuer - HSI R Bull CBBC Apr 2023 S                       | 250,000,000  | 2020/05/21 | 2023/04/27 | 62.50          |
| 67971    | SG Issuer - HSI R Bull CBBC Apr 2023 T                       | 500,000,000  | 2020/05/21 | 2023/04/27 | 125.00         |
| 67955    | SG Issuer - HSI R Bull CBBC May 2023 D                       | 250,000,000  | 2020/05/21 | 2023/05/30 | 62.50          |
| 68096    | SG Issuer - HSI R Bull CBBC May 2023 G                       | 250,000,000  | 2020/05/21 | 2023/05/30 | 62.50          |
| 68024    | SG Issuer - HSI R Bear CBBC Oct 2020 F                       | 250,000,000  | 2020/05/21 | 2020/10/29 | 62.50          |
| 68033    | SG Issuer - HSI R Bear CBBC Oct 2020 X                       | 250,000,000  | 2020/05/21 | 2020/10/29 | 62.50          |
| 68042    | SG Issuer - HSI R Bear CBBC Nov 2020 L                       | 250,000,000  | 2020/05/21 | 2020/11/27 | 62.50          |
| 68053    | SG Issuer - HSI R Bear CBBC Dec 2020 Z                       | 250,000,000  | 2020/05/21 | 2020/12/30 | 62.50          |
| 67972    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 X          | 100,000,000  | 2020/05/21 | 2020/12/30 | 25.00          |
| 67864    | SG Issuer - Meituan Dianping R Bear CBBC Nov 2020 F          | 100,000,000  | 2020/05/21 | 2020/11/30 | 25.00          |
| 68107    | SG Issuer - Sands China R Bull CBBC Apr 2021 B               | 100,000,000  | 2020/05/21 | 2021/04/30 | 25.00          |
| 67977    | SG Issuer - SMIC R Bull CBBC Feb 2021 D                      | 120,000,000  | 2020/05/21 | 2021/02/25 | 30.00          |
| 67878    | SG Issuer - Sunny Optical R Bear CBBC Feb 2021 A             | 60,000,000   | 2020/05/21 | 2021/02/26 | 21.00          |
| 67992    | SG Issuer - Tencent R Bull CBBC Nov 2020 M                   | 80,000,000   | 2020/05/21 | 2020/11/30 | 20.00          |
| 68002    | SG Issuer - Tencent R Bull CBBC Dec 2020 R                   | 80,000,000   | 2020/05/21 | 2020/12/30 | 20.00          |
| 67887    | SG Issuer - Tencent R Bear CBBC Dec 2020 L                   | 80,000,000   | 2020/05/21 | 2020/12/30 | 20.00          |
| 67915    | SG Issuer - Tencent R Bear CBBC Jan 2021 L                   | 80,000,000   | 2020/05/21 | 2021/01/29 | 20.00          |
| 67923    | SG Issuer - Tencent R Bear CBBC Feb 2021 S                   | 80,000,000   | 2020/05/21 | 2021/02/26 | 20.00          |
| 68017    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 H                    | 60,000,000   | 2020/05/21 | 2020/12/30 | 15.00          |
| 67924    | SG Issuer - Xiaomi R Bear CBBC Nov 2020 C                    | 60,000,000   | 2020/05/21 | 2020/11/27 | 15.00          |
| 67935    | SG Issuer - Xiaomi R Bear CBBC Dec 2020 D                    | 60,000,000   | 2020/05/21 | 2020/12/30 | 15.00          |
| 67529    | UBS AG - HSCEI R Bear CBBC Dec 2020 C                        | 200,000,000  | 2020/05/21 | 2020/12/30 | 50.00          |
| 67372    | UBS AG - HSI R Bull CBBC Sep 2022 H                          | 200,000,000  | 2020/05/21 | 2022/09/29 | 50.00          |
| 67465    | UBS AG - HSI R Bull CBBC Sep 2022 P                          | 200,000,000  | 2020/05/21 | 2022/09/29 | 50.00          |
| 67478    | UBS AG - HSI R Bull CBBC Sep 2022 Q                          | 200,000,000  | 2020/05/21 | 2022/09/29 | 50.00          |
| 67377    | UBS AG - HSI R Bull CBBC Sep 2022 S                          | 200,000,000  | 2020/05/21 | 2022/09/29 | 50.00          |
| 67479    | UBS AG - HSI R Bull CBBC Sep 2022 Y                          | 200,000,000  | 2020/05/21 | 2022/09/29 | 50.00          |
| 67366    | UBS AG - HSI R Bull CBBC Sep 2022 Z                          | 200,000,000  | 2020/05/21 | 2022/09/29 | 50.00          |
| 67464    | UBS AG - HSI R Bear CBBC Jan 2021 E                          | 200,000,000  | 2020/05/21 | 2021/01/28 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 67412    | UBS AG - HSI R Bear CBBC Jan 2021 U                        | 200,000,000  | 2020/05/21 | 2021/01/28 | 50.00          |
| 67422    | UBS AG - HSI R Bear CBBC Jan 2021 V                        | 200,000,000  | 2020/05/21 | 2021/01/28 | 50.00          |
| 67448    | UBS AG - HSI R Bear CBBC Jan 2021 X                        | 200,000,000  | 2020/05/21 | 2021/01/28 | 50.00          |
| 67391    | UBS AG - Meituan Dianping R Bull CBBC Mar 2021 A           | 50,000,000   | 2020/05/21 | 2021/03/08 | 12.50          |
| 67392    | UBS AG - Meituan Dianping R Bull CBBC Mar 2021 B           | 50,000,000   | 2020/05/21 | 2021/03/01 | 12.50          |
| 67330    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 U           | 50,000,000   | 2020/05/21 | 2020/12/31 | 12.50          |
| 67329    | UBS AG - Meituan Dianping R Bear CBBC Jul 2021 A           | 150,000,000  | 2020/05/21 | 2021/07/30 | 37.50          |
| 67310    | UBS AG - Meituan Dianping R Bear CBBC Aug 2021 A           | 150,000,000  | 2020/05/21 | 2021/08/31 | 37.50          |
| 67480    | UBS AG - SMIC R Bull CBBC Apr 2021 A                       | 100,000,000  | 2020/05/21 | 2021/04/30 | 25.00          |
| 67494    | UBS AG - SMIC R Bear CBBC Apr 2021 A                       | 100,000,000  | 2020/05/21 | 2021/04/30 | 25.00          |
| 67379    | UBS AG - Tencent R Bull CBBC Mar 2021 C                    | 200,000,000  | 2020/05/21 | 2021/03/08 | 50.00          |
| 67302    | UBS AG - Tencent R Bear CBBC Nov 2020 B                    | 40,000,000   | 2020/05/21 | 2020/11/30 | 10.00          |
| 67307    | UBS AG - Tencent R Bear CBBC Feb 2021 D                    | 200,000,000  | 2020/05/21 | 2021/02/08 | 50.00          |
| 67407    | UBS AG - Xiaomi R Bull CBBC Mar 2021 A                     | 60,000,000   | 2020/05/21 | 2021/03/01 | 15.00          |
| 67193    | Bank Vontobel - China Life R Bull CBBC Mar 2021 D          | 80,000,000   | 2020/05/21 | 2021/03/12 | 20.00          |
| 67241    | Bank Vontobel - HSI R Bear CBBC Dec 2020 K                 | 80,000,000   | 2020/05/21 | 2020/12/30 | 20.00          |
| 67244    | Bank Vontobel - HSI R Bear CBBC Dec 2020 L                 | 80,000,000   | 2020/05/21 | 2020/12/30 | 20.00          |
| 67205    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 B    | 60,000,000   | 2020/05/21 | 2021/02/19 | 15.00          |
| 67190    | Bank Vontobel - Meituan Dianping R Bear CBBC Dec 2020 W    | 60,000,000   | 2020/05/21 | 2020/12/18 | 15.00          |
| 67195    | Bank Vontobel - Tencent R Bull CBBC Mar 2021 B             | 40,000,000   | 2020/05/21 | 2021/03/05 | 10.00          |
| 67189    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 V             | 40,000,000   | 2020/05/21 | 2020/12/11 | 10.00          |
| 68625    | BOCI Asia Ltd. - AAC Tech R Bull CBBC Dec 2020 B           | 80,000,000   | 2020/05/22 | 2020/12/30 | 20.00          |
| 68555    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 O                | 150,000,000  | 2020/05/22 | 2023/01/30 | 37.50          |
| 68589    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 P                | 150,000,000  | 2020/05/22 | 2023/01/30 | 37.50          |
| 68611    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 F                | 150,000,000  | 2020/05/22 | 2020/10/29 | 37.50          |
| 68768    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 J     | 150,000,000  | 2020/05/22 | 2022/10/28 | 37.50          |
| 68795    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 K     | 150,000,000  | 2020/05/22 | 2022/10/28 | 37.50          |
| 69634    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 L     | 140,000,000  | 2020/05/22 | 2022/10/28 | 35.00          |
| 69716    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 A     | 250,000,000  | 2020/05/22 | 2020/11/27 | 62.50          |
| 69725    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 B     | 250,000,000  | 2020/05/22 | 2020/11/27 | 62.50          |
| 69642    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 U     | 250,000,000  | 2020/05/22 | 2020/11/27 | 62.50          |
| 69729    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 V     | 250,000,000  | 2020/05/22 | 2020/11/27 | 62.50          |
| 69767    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 W     | 250,000,000  | 2020/05/22 | 2020/11/27 | 62.50          |
| 69674    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 X     | 250,000,000  | 2020/05/22 | 2020/11/27 | 62.50          |
| 69691    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 Y     | 250,000,000  | 2020/05/22 | 2020/11/27 | 62.50          |
| 68645    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 Y | 50,000,000   | 2020/05/22 | 2020/12/30 | 12.50          |
| 68643    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 Z | 50,000,000   | 2020/05/22 | 2020/12/30 | 12.50          |
| 68668    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 L | 50,000,000   | 2020/05/22 | 2020/11/27 | 12.50          |
| 68689    | BNP Paribas Issuance B.V. - Xiaomi R Bull CBBC Nov 2020 W  | 50,000,000   | 2020/05/22 | 2020/11/27 | 12.50          |
| 50521    | Credit Suisse AG - AAC Tech R Bull CBBC Dec 2020 D         | 80,000,000   | 2020/05/22 | 2020/12/30 | 20.00          |
| 50538    | Credit Suisse AG - Alibaba Group R Bull CBBC Sep 2020 J    | 50,000,000   | 2020/05/22 | 2020/09/29 | 12.50          |
| 50154    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 I              | 200,000,000  | 2020/05/22 | 2023/01/30 | 50.00          |
| 50374    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 L              | 200,000,000  | 2020/05/22 | 2023/02/27 | 50.00          |
| 50539    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 M              | 200,000,000  | 2020/05/22 | 2023/02/27 | 50.00          |
| 50540    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 L              | 200,000,000  | 2020/05/22 | 2020/10/29 | 50.00          |

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| 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 50578    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 M              | 200,000,000  | 2020/05/22 | 2020/10/29 | 50.00          |
| 50542    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 Q              | 200,000,000  | 2020/05/22 | 2020/11/27 | 50.00          |
| 50523    | Credit Suisse AG - Meituan Dianping R Bull CBBC Sep 2020 F | 80,000,000   | 2020/05/22 | 2020/09/29 | 20.00          |
| 50518    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 D             | 100,000,000  | 2020/05/22 | 2021/01/22 | 25.00          |
| 50443    | Credit Suisse AG - Tencent R Bear CBBC Oct 2020 D          | 50,000,000   | 2020/05/22 | 2020/10/29 | 12.50          |
| 51075    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Mar 2021 F   | 60,000,000   | 2020/05/22 | 2021/03/30 | 15.00          |
| 51145    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 S       | 160,000,000  | 2020/05/22 | 2023/04/27 | 40.00          |
| 51172    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 U       | 160,000,000  | 2020/05/22 | 2023/04/27 | 40.00          |
| 51000    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 A       | 160,000,000  | 2020/05/22 | 2023/05/30 | 40.00          |
| 51192    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 B       | 160,000,000  | 2020/05/22 | 2023/05/30 | 40.00          |
| 51254    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 C       | 160,000,000  | 2020/05/22 | 2023/05/30 | 40.00          |
| 50989    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 I       | 160,000,000  | 2020/05/22 | 2020/08/28 | 40.00          |
| 51133    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 L       | 160,000,000  | 2020/05/22 | 2020/08/28 | 40.00          |
| 51076    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 D       | 160,000,000  | 2020/05/22 | 2021/01/28 | 40.00          |
| 51041    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 I   | 60,000,000   | 2020/05/22 | 2020/10/30 | 15.00          |
| 51036    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Oct 2020 B   | 60,000,000   | 2020/05/22 | 2020/10/30 | 15.24          |
| 51064    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Nov 2020 E   | 60,000,000   | 2020/05/22 | 2020/11/27 | 15.00          |
| 68414    | HK Bank - AAC Tech R Bull CBBC Dec 2020 B                  | 40,000,000   | 2020/05/22 | 2020/12/07 | 10.00          |
| 68499    | HK Bank - AAC Tech R Bear CBBC Nov 2020 A                  | 40,000,000   | 2020/05/22 | 2020/11/02 | 10.00          |
| 68540    | HK Bank - Alibaba Group R Bear CBBC Oct 2020 C             | 100,000,000  | 2020/05/22 | 2020/10/19 | 25.00          |
| 68411    | HK Bank - HSI R Bull CBBC Sep 2022 L                       | 60,000,000   | 2020/05/22 | 2022/09/29 | 15.00          |
| 68530    | HK Bank - HSI R Bear CBBC Sep 2020 D                       | 100,000,000  | 2020/05/22 | 2020/09/29 | 25.00          |
| 68542    | HK Bank - Meituan Dianping R Bear CBBC Oct 2020 D          | 40,000,000   | 2020/05/22 | 2020/10/19 | 10.00          |
| 68541    | HK Bank - Meituan Dianping R Bear CBBC Nov 2020 C          | 40,000,000   | 2020/05/22 | 2020/11/16 | 12.00          |
| 68522    | HK Bank - SMIC R Bull CBBC Oct 2020 D                      | 40,000,000   | 2020/05/22 | 2020/10/19 | 10.00          |
| 68529    | HK Bank - SMIC R Bear CBBC Oct 2020 A                      | 40,000,000   | 2020/05/22 | 2020/10/12 | 10.00          |
| 68543    | HK Bank - Tencent R Bear CBBC Oct 2020 D                   | 40,000,000   | 2020/05/22 | 2020/10/15 | 10.00          |
| 68547    | HK Bank - Xiaomi R Bull CBBC Nov 2020 C                    | 40,000,000   | 2020/05/22 | 2020/11/16 | 10.00          |
| 68546    | HK Bank - Xiaomi R Bear CBBC Oct 2020 A                    | 40,000,000   | 2020/05/22 | 2020/10/19 | 10.00          |
| 69588    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 K             | 200,000,000  | 2020/05/22 | 2023/03/30 | 50.00          |
| 69579    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 J             | 150,000,000  | 2020/05/22 | 2020/10/29 | 37.50          |
| 69598    | Haitong Int'l Sec - Xiaomi R Bear CBBC Nov 2020 C          | 60,000,000   | 2020/05/22 | 2020/11/27 | 15.00          |
| 69217    | J P Morgan SP BV - Alibaba Group R Bull CBBC Nov 2020 B    | 80,000,000   | 2020/05/22 | 2020/11/13 | 20.00          |
| 69403    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 E              | 200,000,000  | 2020/05/22 | 2023/02/27 | 50.00          |
| 69204    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 S              | 200,000,000  | 2020/05/22 | 2023/02/27 | 50.00          |
| 69349    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 B              | 200,000,000  | 2020/05/22 | 2023/09/28 | 50.00          |
| 69481    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 L              | 200,000,000  | 2020/05/22 | 2020/11/27 | 50.00          |
| 69425    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 W              | 200,000,000  | 2020/05/22 | 2020/11/27 | 50.00          |
| 69499    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 K              | 240,000,000  | 2020/05/22 | 2020/12/30 | 60.00          |
| 69545    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 M              | 200,000,000  | 2020/05/22 | 2020/12/30 | 50.00          |
| 69485    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 W              | 200,000,000  | 2020/05/22 | 2020/12/30 | 50.00          |
| 69292    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Nov 2020 C | 80,000,000   | 2020/05/22 | 2020/11/13 | 30.80          |
| 69304    | J P Morgan SP BV - Tencent R Bear CBBC Nov 2020 D          | 200,000,000  | 2020/05/22 | 2020/11/13 | 50.00          |
| 69918    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 I  | 150,000,000  | 2020/05/22 | 2023/02/27 | 37.50          |
| 69818    | Morgan Stanley Asia Products - HSI R Bull CBBC Mar 2023 A  | 150,000,000  | 2020/05/22 | 2023/03/30 | 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 69938    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 Z    | 150,000,000  | 2020/05/22 | 2020/09/29 | 37.50          |
| 69954    | Morgan Stanley Asia Products - Tencent R Bull CBBC Oct2020 F | 40,000,000   | 2020/05/22 | 2020/10/12 | 10.00          |
| 69951    | Morgan Stanley Asia Products - Tencent R Bear CBBC Oct2020 B | 40,000,000   | 2020/05/22 | 2020/10/05 | 10.00          |
| 69956    | Morgan Stanley Asia Products - Tencent R Bear CBBC Oct2020 C | 40,000,000   | 2020/05/22 | 2020/10/12 | 10.00          |
| 50865    | SG Issuer - AAC Tech R Bull CBBC Jan 2021 B                  | 100,000,000  | 2020/05/22 | 2021/01/28 | 25.00          |
| 50619    | SG Issuer - AAC Tech R Bear CBBC Nov 2020 D                  | 100,000,000  | 2020/05/22 | 2020/11/30 | 25.00          |
| 50684    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 Y             | 150,000,000  | 2020/05/22 | 2020/12/30 | 37.50          |
| 50637    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 H             | 60,000,000   | 2020/05/22 | 2021/01/28 | 15.00          |
| 50672    | SG Issuer - HSBC R Bear CBBC Dec 2020 A                      | 100,000,000  | 2020/05/22 | 2020/12/30 | 25.00          |
| 50855    | SG Issuer - HSI R Bull CBBC Nov 2022 Q                       | 250,000,000  | 2020/05/22 | 2022/11/29 | 62.50          |
| 50683    | SG Issuer - HSI R Bull CBBC Feb 2023 R                       | 250,000,000  | 2020/05/22 | 2023/02/27 | 62.50          |
| 50764    | SG Issuer - HSI R Bull CBBC Apr 2023 U                       | 250,000,000  | 2020/05/22 | 2023/04/27 | 62.50          |
| 50856    | SG Issuer - HSI R Bull CBBC May 2023 H                       | 250,000,000  | 2020/05/22 | 2023/05/30 | 62.50          |
| 50770    | SG Issuer - HSI R Bear CBBC Aug 2020 O                       | 250,000,000  | 2020/05/22 | 2020/08/28 | 62.50          |
| 50799    | SG Issuer - HSI R Bear CBBC Nov 2020 P                       | 250,000,000  | 2020/05/22 | 2020/11/27 | 62.50          |
| 50808    | SG Issuer - HSI R Bear CBBC Nov 2020 T                       | 250,000,000  | 2020/05/22 | 2020/11/27 | 62.50          |
| 50809    | SG Issuer - HSI R Bear CBBC Jan 2021 V                       | 250,000,000  | 2020/05/22 | 2021/01/28 | 62.50          |
| 50843    | SG Issuer - HSI R Bear CBBC Jan 2021 W                       | 250,000,000  | 2020/05/22 | 2021/01/28 | 62.50          |
| 50673    | SG Issuer - Meituan Dianping R Bull CBBC Nov 2020 N          | 100,000,000  | 2020/05/22 | 2020/11/30 | 25.00          |
| 50702    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 Y          | 100,000,000  | 2020/05/22 | 2020/12/30 | 25.00          |
| 50731    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 B          | 100,000,000  | 2020/05/22 | 2021/02/25 | 25.00          |
| 50679    | SG Issuer - SMIC R Bear CBBC Dec 2020 B                      | 120,000,000  | 2020/05/22 | 2020/12/30 | 30.00          |
| 50734    | SG Issuer - SMIC R Bear CBBC Apr 2021 A                      | 120,000,000  | 2020/05/22 | 2021/04/30 | 30.00          |
| 50680    | SG Issuer - Sunny Optical R Bear CBBC Jan 2021 B             | 60,000,000   | 2020/05/22 | 2021/01/28 | 15.00          |
| 50742    | SG Issuer - Tencent R Bull CBBC Aug 2020 S                   | 80,000,000   | 2020/05/22 | 2020/08/31 | 20.00          |
| 50745    | SG Issuer - Tencent R Bull CBBC Sep 2020 K                   | 80,000,000   | 2020/05/22 | 2020/09/30 | 20.00          |
| 50746    | SG Issuer - Tencent R Bull CBBC Sep 2020 M                   | 80,000,000   | 2020/05/22 | 2020/09/30 | 20.00          |
| 50901    | SG Issuer - Tencent R Bear CBBC Jan 2021 M                   | 80,000,000   | 2020/05/22 | 2021/01/28 | 20.00          |
| 50949    | SG Issuer - Tencent R Bear CBBC Feb 2021 T                   | 80,000,000   | 2020/05/22 | 2021/02/25 | 20.00          |
| 50747    | SG Issuer - Xiaomi R Bull CBBC Oct 2020 E                    | 60,000,000   | 2020/05/22 | 2020/10/30 | 15.00          |
| 68861    | UBS AG - AAC Tech R Bull CBBC Feb 2021 B                     | 60,000,000   | 2020/05/22 | 2021/02/22 | 15.00          |
| 68870    | UBS AG - AAC Tech R Bull CBBC Feb 2021 C                     | 60,000,000   | 2020/05/22 | 2021/02/23 | 15.00          |
| 68881    | UBS AG - AAC Tech R Bear CBBC Feb 2021 A                     | 60,000,000   | 2020/05/22 | 2021/02/22 | 15.00          |
| 69203    | UBS AG - HSI R Bull CBBC Aug 2022 A                          | 200,000,000  | 2020/05/22 | 2022/08/30 | 50.00          |
| 68851    | UBS AG - HSI R Bull CBBC Oct 2022 D                          | 200,000,000  | 2020/05/22 | 2022/10/28 | 50.00          |
| 68796    | UBS AG - HSI R Bull CBBC Nov 2022 A                          | 200,000,000  | 2020/05/22 | 2022/11/29 | 50.00          |
| 68821    | UBS AG - HSI R Bull CBBC Nov 2022 E                          | 200,000,000  | 2020/05/22 | 2022/11/29 | 50.00          |
| 68826    | UBS AG - HSI R Bear CBBC Oct 2020 Z                          | 200,000,000  | 2020/05/22 | 2020/10/29 | 50.00          |
| 68925    | UBS AG - HSI R Bear CBBC Oct 2022 A                          | 200,000,000  | 2020/05/22 | 2022/10/28 | 50.00          |
| 69065    | UBS AG - HSI R Bear CBBC Oct 2022 B                          | 200,000,000  | 2020/05/22 | 2022/10/28 | 50.00          |
| 69126    | UBS AG - HSI R Bear CBBC Oct 2022 C                          | 200,000,000  | 2020/05/22 | 2022/10/28 | 50.00          |
| 69165    | UBS AG - HSI R Bear CBBC Oct 2022 D                          | 200,000,000  | 2020/05/22 | 2022/10/28 | 50.00          |
| 69166    | UBS AG - HSI R Bear CBBC Oct 2022 E                          | 400,000,000  | 2020/05/22 | 2022/10/28 | 100.00         |
| 68840    | UBS AG - Meituan Dianping R Bull CBBC Jan 2021 B             | 50,000,000   | 2020/05/22 | 2021/01/11 | 12.50          |
| 69198    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 V             | 50,000,000   | 2020/05/22 | 2020/12/30 | 12.50          |

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|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 68903    | UBS AG - SMIC R Bull CBBC Jul 2021 A                     | 100,000,000  | 2020/05/22 | 2021/07/30 | 25.00          |
| 68852    | UBS AG - Tencent R Bull CBBC Jan 2021 J                  | 40,000,000   | 2020/05/22 | 2021/01/11 | 10.00          |
| 69180    | UBS AG - Tencent R Bear CBBC Dec 2020 E                  | 40,000,000   | 2020/05/22 | 2020/12/30 | 10.00          |
| 69187    | UBS AG - Tencent R Bear CBBC Jan 2021 H                  | 200,000,000  | 2020/05/22 | 2021/01/28 | 50.00          |
| 69965    | Bank Vontobel - AAC Tech R Bull CBBC Feb 2021 B          | 40,000,000   | 2020/05/22 | 2021/02/19 | 10.00          |
| 69971    | Bank Vontobel - Geely Auto R Bear CBBC Jan 2021 A        | 40,000,000   | 2020/05/22 | 2021/01/08 | 10.00          |
| 69964    | Bank Vontobel - HSBC R Bear CBBC Dec 2020 I              | 40,000,000   | 2020/05/22 | 2020/12/18 | 10.00          |
| 50020    | Bank Vontobel - Meituan Dianping R Bull CBBC Dec 2020 W  | 60,000,000   | 2020/05/22 | 2020/12/18 | 15.00          |
| 69960    | Bank Vontobel - Ping An R Bear CBBC Jan 2021 A           | 40,000,000   | 2020/05/22 | 2021/01/08 | 10.00          |
| 69987    | Bank Vontobel - Sands China R Bear CBBC Jan 2021 A       | 40,000,000   | 2020/05/22 | 2021/01/08 | 10.00          |
| 50070    | Bank Vontobel - Tencent R Bear CBBC Jan 2021 C           | 40,000,000   | 2020/05/22 | 2021/01/08 | 10.00          |
| 69998    | Bank Vontobel - Xiaomi R Bull CBBC Jan 2021 C            | 40,000,000   | 2020/05/22 | 2021/01/22 | 10.00          |
| 51487    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 K    | 60,000,000   | 2020/05/25 | 2020/12/31 | 15.00          |
| 51475    | BOCI Asia Ltd. - HKEX R Bull CBBC Nov 2020 A             | 40,000,000   | 2020/05/25 | 2020/11/30 | 10.00          |
| 51471    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 Q              | 150,000,000  | 2020/05/25 | 2020/10/29 | 37.50          |
| 51497    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 F          | 40,000,000   | 2020/05/25 | 2020/12/30 | 10.00          |
| 51498    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 X          | 40,000,000   | 2020/05/25 | 2020/12/30 | 10.00          |
| 51499    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 Q   | 150,000,000  | 2020/05/25 | 2022/10/28 | 37.50          |
| 51511    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 C   | 240,000,000  | 2020/05/25 | 2020/11/27 | 60.00          |
| 51500    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 Z   | 250,000,000  | 2020/05/25 | 2020/11/27 | 62.50          |
| 51765    | Credit Suisse AG - AAC Tech R Bear CBBC Nov 2020 D       | 50,000,000   | 2020/05/25 | 2020/11/27 | 12.50          |
| 51781    | Credit Suisse AG - AIA R Bull CBBC Oct 2020 F            | 70,000,000   | 2020/05/25 | 2020/10/29 | 17.50          |
| 51770    | Credit Suisse AG - Alibaba Group R Bull CBBC Oct 2020 I  | 50,000,000   | 2020/05/25 | 2020/10/29 | 12.50          |
| 51723    | Credit Suisse AG - HSBC R Bear CBBC Dec 2020 A           | 70,000,000   | 2020/05/25 | 2020/12/30 | 17.50          |
| 51783    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 D            | 200,000,000  | 2020/05/25 | 2022/11/29 | 50.00          |
| 51789    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 J            | 200,000,000  | 2020/05/25 | 2023/01/30 | 50.00          |
| 51703    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 B            | 200,000,000  | 2020/05/25 | 2020/11/27 | 50.00          |
| 51696    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 R            | 200,000,000  | 2020/05/25 | 2020/11/27 | 50.00          |
| 51692    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 T            | 200,000,000  | 2020/05/25 | 2020/11/27 | 50.00          |
| 51752    | Credit Suisse AG - SMIC R Bull CBBC Dec 2020 B           | 100,000,000  | 2020/05/25 | 2020/12/30 | 25.00          |
| 51751    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 E           | 100,000,000  | 2020/05/25 | 2021/01/22 | 25.00          |
| 51772    | Credit Suisse AG - SMIC R Bear CBBC Dec 2020 B           | 50,000,000   | 2020/05/25 | 2020/12/30 | 12.50          |
| 51768    | Credit Suisse AG - Sunny Optical R Bear CBBC Nov 2020 D  | 40,000,000   | 2020/05/25 | 2020/11/27 | 10.00          |
| 51769    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 P        | 50,000,000   | 2020/05/25 | 2020/10/29 | 12.50          |
| 51724    | Credit Suisse AG - Tencent R Bear CBBC Oct 2020 E        | 50,000,000   | 2020/05/25 | 2020/10/29 | 12.50          |
| 51735    | Credit Suisse AG - ZTE R Bull CBBC Nov 2020 B            | 50,000,000   | 2020/05/25 | 2020/11/27 | 12.50          |
| 51908    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 V | 60,000,000   | 2020/05/25 | 2020/10/30 | 15.00          |
| 51939    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 V     | 160,000,000  | 2020/05/25 | 2023/04/27 | 40.00          |
| 51940    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 D     | 160,000,000  | 2020/05/25 | 2023/05/30 | 40.00          |
| 51941    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 H     | 160,000,000  | 2020/05/25 | 2023/05/30 | 40.00          |
| 51942    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 I     | 160,000,000  | 2020/05/25 | 2023/05/30 | 40.00          |
| 51933    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 N     | 160,000,000  | 2020/05/25 | 2020/08/28 | 40.00          |
| 51925    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 E     | 160,000,000  | 2020/05/25 | 2021/02/25 | 40.00          |
| 51926    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 F     | 160,000,000  | 2020/05/25 | 2021/02/25 | 40.00          |
| 51928    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 H     | 160,000,000  | 2020/05/25 | 2021/02/25 | 40.00          |

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|----------|---------------------------------------------------------------|--------------|------------|------------|----------------|
| 51915    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 F      | 60,000,000   | 2020/05/25 | 2020/10/30 | 15.00          |
| 51907    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 K      | 60,000,000   | 2020/05/25 | 2020/10/30 | 15.00          |
| 51906    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Oct 2020 C      | 60,000,000   | 2020/05/25 | 2020/10/30 | 15.00          |
| 51924    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Oct 2020 D       | 60,000,000   | 2020/05/25 | 2020/10/30 | 15.00          |
| 51320    | HK Bank - AAC Tech R Bear CBBC Nov 2020 B                     | 40,000,000   | 2020/05/25 | 2020/11/09 | 10.00          |
| 51345    | HK Bank - AIA R Bear CBBC Oct 2020 C                          | 40,000,000   | 2020/05/25 | 2020/10/19 | 10.00          |
| 51396    | HK Bank - Alibaba Group R Bull CBBC Oct 2020 H                | 40,000,000   | 2020/05/25 | 2020/10/15 | 10.00          |
| 51435    | HK Bank - Geely Auto R Bull CBBC Oct 2020 D                   | 40,000,000   | 2020/05/25 | 2020/10/05 | 10.00          |
| 51330    | HK Bank - HKEX R Bear CBBC Nov 2020 A                         | 100,000,000  | 2020/05/25 | 2020/11/02 | 25.00          |
| 51451    | HK Bank - HSI R Bull CBBC Sep 2022 P                          | 100,000,000  | 2020/05/25 | 2022/09/29 | 25.00          |
| 51255    | HK Bank - HSI R Bear CBBC Sep 2020 E                          | 60,000,000   | 2020/05/25 | 2020/09/29 | 15.00          |
| 51385    | HK Bank - SUNAC R Bull CBBC Oct 2020 D                        | 40,000,000   | 2020/05/25 | 2020/10/19 | 10.00          |
| 51306    | HK Bank - Sunny Optical R Bull CBBC Nov 2020 B                | 40,000,000   | 2020/05/25 | 2020/11/09 | 10.00          |
| 51324    | HK Bank - Sunny Optical R Bear CBBC Oct 2020 B                | 40,000,000   | 2020/05/25 | 2020/10/12 | 10.00          |
| 51413    | HK Bank - Tencent R Bear CBBC Sep 2020 G                      | 40,000,000   | 2020/05/25 | 2020/09/28 | 10.00          |
| 51687    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Sep 2020 D      | 60,000,000   | 2020/05/25 | 2020/09/30 | 15.00          |
| 51688    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 F                | 150,000,000  | 2020/05/25 | 2022/11/29 | 37.50          |
| 51663    | Haitong Int'l Sec - HSI R Bear CBBC Aug 2020 J                | 200,000,000  | 2020/05/25 | 2020/08/28 | 50.00          |
| 51662    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 X                | 150,000,000  | 2020/05/25 | 2020/09/29 | 37.50          |
| 51667    | Haitong Int'l Sec - Tencent R Bull CBBC Dec 2020 D            | 60,000,000   | 2020/05/25 | 2020/12/30 | 15.00          |
| 51683    | Haitong Int'l Sec - Tencent R Bear CBBC Dec 2020 J            | 60,000,000   | 2020/05/25 | 2020/12/30 | 15.00          |
| 51686    | Haitong Int'l Sec - Xiaomi R Bull CBBC Dec 2020 B             | 60,000,000   | 2020/05/25 | 2020/12/30 | 15.00          |
| 51642    | J P Morgan SP BV - Alibaba Group R Bear CBBC Nov 2020 A       | 80,000,000   | 2020/05/25 | 2020/11/20 | 20.00          |
| 51638    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 M                 | 240,000,000  | 2020/05/25 | 2023/03/30 | 60.00          |
| 51652    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 N                 | 200,000,000  | 2020/05/25 | 2023/03/30 | 50.00          |
| 51660    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 K                 | 200,000,000  | 2020/05/25 | 2023/04/27 | 50.00          |
| 51624    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 X                 | 200,000,000  | 2020/05/25 | 2020/12/30 | 50.00          |
| 51625    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 Z                 | 240,000,000  | 2020/05/25 | 2020/12/30 | 60.00          |
| 51650    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 K                 | 240,000,000  | 2020/05/25 | 2021/01/28 | 60.00          |
| 51651    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 L                 | 200,000,000  | 2020/05/25 | 2021/01/28 | 50.00          |
| 51641    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Nov 2020 C    | 80,000,000   | 2020/05/25 | 2020/11/20 | 20.00          |
| 51643    | J P Morgan SP BV - SUNAC R Bull CBBC Dec 2020 A               | 80,000,000   | 2020/05/25 | 2020/12/11 | 20.00          |
| 51640    | J P Morgan SP BV - Tencent R Bear CBBC Nov 2020 E             | 50,000,000   | 2020/05/25 | 2020/11/20 | 12.50          |
| 51467    | Morgan Stanley Asia Products - Alibaba R Bear CBBC Jan 2021B  | 40,000,000   | 2020/05/25 | 2021/01/18 | 10.00          |
| 51469    | Morgan Stanley Asia Products - Ch Mobile R Bear CBBC Jan 21A  | 40,000,000   | 2020/05/25 | 2021/01/11 | 10.00          |
| 51468    | Morgan Stanley Asia Products - Ch Tower R Bear CBBC Mar 2021A | 48,000,000   | 2020/05/25 | 2021/03/01 | 12.00          |
| 51465    | Morgan Stanley Asia Products - Tencent R Bull CBBC Oct 2020G  | 40,000,000   | 2020/05/25 | 2020/10/12 | 13.00          |
| 51466    | Morgan Stanley Asia Products - Tencent R Bull CBBC Nov 2020D  | 40,000,000   | 2020/05/25 | 2020/11/16 | 19.76          |
| 51464    | Morgan Stanley Asia Products - Tencent R Bear CBBC Jan 2021F  | 40,000,000   | 2020/05/25 | 2021/01/18 | 10.00          |
| 51872    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 K              | 60,000,000   | 2020/05/25 | 2020/11/27 | 15.00          |
| 51876    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 O              | 60,000,000   | 2020/05/25 | 2020/12/30 | 15.00          |
| 51799    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 X              | 60,000,000   | 2020/05/25 | 2020/11/27 | 15.00          |
| 51800    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 I              | 60,000,000   | 2020/05/25 | 2021/01/28 | 15.00          |
| 51842    | SG Issuer - CNOOC R Bull CBBC Dec 2020 N                      | 40,000,000   | 2020/05/25 | 2020/12/31 | 10.00          |
| 51801    | SG Issuer - CNOOC R Bear CBBC Jan 2021 B                      | 40,000,000   | 2020/05/25 | 2021/01/28 | 10.00          |

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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 51807    | SG Issuer - HKEX R Bear CBBC Jan 2021 A                 | 200,000,000  | 2020/05/25 | 2021/01/28 | 50.00          |
| 51855    | SG Issuer - HSI R Bull CBBC Apr 2023 V                  | 250,000,000  | 2020/05/25 | 2023/04/27 | 62.50          |
| 51871    | SG Issuer - HSI R Bull CBBC Apr 2023 X                  | 250,000,000  | 2020/05/25 | 2023/04/27 | 62.50          |
| 51856    | SG Issuer - HSI R Bull CBBC Apr 2023 Z                  | 250,000,000  | 2020/05/25 | 2023/04/27 | 62.50          |
| 51835    | SG Issuer - HSI R Bear CBBC Aug 2020 V                  | 250,000,000  | 2020/05/25 | 2020/08/28 | 62.50          |
| 51841    | SG Issuer - HSI R Bear CBBC Nov 2020 U                  | 500,000,000  | 2020/05/25 | 2020/11/27 | 125.00         |
| 51904    | SG Issuer - HSI R Bear CBBC Dec 2020 Q                  | 250,000,000  | 2020/05/25 | 2020/12/30 | 62.50          |
| 51900    | SG Issuer - HSI R Bear CBBC Dec 2020 R                  | 250,000,000  | 2020/05/25 | 2020/12/30 | 62.50          |
| 51905    | SG Issuer - HSI R Bear CBBC Jan 2021 X                  | 250,000,000  | 2020/05/25 | 2021/01/28 | 62.50          |
| 51889    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 Z     | 100,000,000  | 2020/05/25 | 2020/12/30 | 25.00          |
| 51886    | SG Issuer - Meituan Dianping R Bear CBBC Nov 2020 G     | 100,000,000  | 2020/05/25 | 2020/11/27 | 25.00          |
| 51815    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 L     | 100,000,000  | 2020/05/25 | 2020/12/30 | 25.00          |
| 51898    | SG Issuer - SMIC R Bull CBBC Jan 2021 A                 | 120,000,000  | 2020/05/25 | 2021/01/28 | 30.00          |
| 51852    | SG Issuer - SMIC R Bull CBBC Feb 2021 E                 | 120,000,000  | 2020/05/25 | 2021/02/26 | 30.00          |
| 51897    | SG Issuer - SMIC R Bear CBBC Dec 2020 C                 | 120,000,000  | 2020/05/25 | 2020/12/31 | 30.00          |
| 51816    | SG Issuer - Tencent R Bull CBBC Aug 2020 T              | 80,000,000   | 2020/05/25 | 2020/08/31 | 20.00          |
| 51829    | SG Issuer - Tencent R Bear CBBC Dec 2020 P              | 80,000,000   | 2020/05/25 | 2020/12/30 | 20.00          |
| 51854    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 I               | 60,000,000   | 2020/05/25 | 2020/12/31 | 15.00          |
| 51899    | SG Issuer - Xiaomi R Bear CBBC Dec 2020 E               | 60,000,000   | 2020/05/25 | 2020/12/30 | 15.00          |
| 51562    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 A           | 80,000,000   | 2020/05/25 | 2020/12/18 | 20.00          |
| 51572    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 F           | 80,000,000   | 2020/05/25 | 2020/12/22 | 27.20          |
| 51554    | UBS AG - HSI R Bull CBBC Feb 2023 O                     | 200,000,000  | 2020/05/25 | 2023/02/27 | 50.00          |
| 51553    | UBS AG - HSI R Bull CBBC Feb 2023 Y                     | 200,000,000  | 2020/05/25 | 2023/02/27 | 50.00          |
| 51556    | UBS AG - HSI R Bull CBBC Mar 2023 E                     | 200,000,000  | 2020/05/25 | 2023/03/30 | 50.00          |
| 51512    | UBS AG - HSI R Bear CBBC Oct 2020 N                     | 200,000,000  | 2020/05/25 | 2020/10/29 | 50.00          |
| 51529    | UBS AG - HSI R Bear CBBC Oct 2020 P                     | 200,000,000  | 2020/05/25 | 2020/10/29 | 50.00          |
| 51530    | UBS AG - HSI R Bear CBBC Oct 2020 S                     | 200,000,000  | 2020/05/25 | 2020/10/29 | 50.00          |
| 51552    | UBS AG - HSI R Bear CBBC Oct 2020 T                     | 200,000,000  | 2020/05/25 | 2020/10/29 | 50.00          |
| 51583    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 W        | 50,000,000   | 2020/05/25 | 2020/12/07 | 12.50          |
| 51586    | UBS AG - SMIC R Bear CBBC May 2021 B                    | 100,000,000  | 2020/05/25 | 2021/05/31 | 25.00          |
| 51587    | UBS AG - Sunny Optical R Bear CBBC Feb 2021 B           | 30,000,000   | 2020/05/25 | 2021/02/04 | 10.20          |
| 51560    | UBS AG - Tencent R Bull CBBC Nov 2020 Y                 | 40,000,000   | 2020/05/25 | 2020/11/23 | 10.00          |
| 51558    | UBS AG - Tencent R Bear CBBC Dec 2020 G                 | 40,000,000   | 2020/05/25 | 2020/12/09 | 10.00          |
| 51593    | Bank Vontobel - AAC Tech R Bear CBBC Jan 2021 A         | 40,000,000   | 2020/05/25 | 2021/01/08 | 10.00          |
| 51597    | Bank Vontobel - Alibaba Group R Bull CBBC Jan 2021 A    | 40,000,000   | 2020/05/25 | 2021/01/22 | 10.00          |
| 51618    | Bank Vontobel - CC Bank R Bear CBBC Dec 2020 A          | 40,000,000   | 2020/05/25 | 2020/12/18 | 10.00          |
| 51623    | Bank Vontobel - China Life R Bear CBBC Feb 2021 A       | 80,000,000   | 2020/05/25 | 2021/02/19 | 20.00          |
| 51596    | Bank Vontobel - CNOOC R Bear CBBC Jan 2021 A            | 40,000,000   | 2020/05/25 | 2021/01/08 | 10.00          |
| 51619    | Bank Vontobel - HSI R Bear CBBC Dec 2020 M              | 80,000,000   | 2020/05/25 | 2020/12/30 | 20.00          |
| 51607    | Bank Vontobel - Meituan Dianping R Bear CBBC Dec 2020 X | 60,000,000   | 2020/05/25 | 2020/12/18 | 16.80          |
| 51595    | Bank Vontobel - Sunny Optical R Bear CBBC Jan 2021 A    | 40,000,000   | 2020/05/25 | 2021/01/08 | 10.00          |
| 51594    | Bank Vontobel - Sunny Optical R Bear CBBC Feb 2021 A    | 40,000,000   | 2020/05/25 | 2021/02/19 | 10.00          |
| 51622    | Bank Vontobel - Tencent R Bull CBBC Jan 2021 C          | 40,000,000   | 2020/05/25 | 2021/01/22 | 10.00          |
| 51617    | Bank Vontobel - Tencent R Bear CBBC Nov 2020 M          | 40,000,000   | 2020/05/25 | 2020/11/20 | 10.00          |
| 51616    | Bank Vontobel - Tencent R Bear CBBC Dec 2020 W          | 40,000,000   | 2020/05/25 | 2020/12/18 | 11.20          |



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|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 52138    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 L      | 60,000,000   | 2020/05/26 | 2020/12/31 | 15.00          |
| 52139    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 M      | 60,000,000   | 2020/05/26 | 2020/12/31 | 15.00          |
| 52140    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 F      | 60,000,000   | 2020/05/26 | 2020/12/31 | 15.00          |
| 52165    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 Q                | 150,000,000  | 2020/05/26 | 2023/01/30 | 37.50          |
| 52166    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 S                | 150,000,000  | 2020/05/26 | 2020/10/29 | 37.50          |
| 52142    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 O   | 40,000,000   | 2020/05/26 | 2020/12/30 | 10.00          |
| 52164    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 I   | 40,000,000   | 2020/05/26 | 2020/12/30 | 10.00          |
| 52102    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 G            | 40,000,000   | 2020/05/26 | 2020/12/30 | 10.00          |
| 52117    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 H            | 40,000,000   | 2020/05/26 | 2020/12/30 | 10.00          |
| 52118    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 Y            | 40,000,000   | 2020/05/26 | 2020/12/30 | 10.00          |
| 51993    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 D | 100,000,000  | 2020/05/26 | 2020/12/30 | 25.00          |
| 51994    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 J | 100,000,000  | 2020/05/26 | 2020/12/30 | 25.00          |
| 51995    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 K | 100,000,000  | 2020/05/26 | 2020/12/30 | 25.00          |
| 51985    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2020 K    | 50,000,000   | 2020/05/26 | 2020/09/29 | 12.50          |
| 51983    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2020 Q    | 50,000,000   | 2020/05/26 | 2020/09/29 | 12.50          |
| 51989    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 H    | 50,000,000   | 2020/05/26 | 2020/11/27 | 12.50          |
| 51991    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 I    | 50,000,000   | 2020/05/26 | 2020/11/27 | 12.50          |
| 55563    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 M     | 150,000,000  | 2020/05/26 | 2022/10/28 | 37.50          |
| 55583    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 P     | 150,000,000  | 2020/05/26 | 2022/10/28 | 37.50          |
| 55631    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 R     | 150,000,000  | 2020/05/26 | 2022/10/28 | 37.50          |
| 54801    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 S     | 150,000,000  | 2020/05/26 | 2022/10/28 | 37.50          |
| 55674    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 U     | 140,000,000  | 2020/05/26 | 2022/10/28 | 35.00          |
| 51980    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 A     | 250,000,000  | 2020/05/26 | 2020/12/30 | 62.50          |
| 51943    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 I     | 250,000,000  | 2020/05/26 | 2020/12/30 | 62.50          |
| 51955    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 J     | 250,000,000  | 2020/05/26 | 2020/12/30 | 62.50          |
| 51965    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 K     | 250,000,000  | 2020/05/26 | 2020/12/30 | 62.50          |
| 51968    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 S     | 250,000,000  | 2020/05/26 | 2020/12/30 | 62.50          |
| 51981    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 I | 50,000,000   | 2020/05/26 | 2020/11/27 | 12.50          |
| 51982    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 J | 50,000,000   | 2020/05/26 | 2020/11/27 | 20.00          |
| 51997    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 S | 50,000,000   | 2020/05/26 | 2020/11/27 | 12.50          |
| 52008    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 R | 50,000,000   | 2020/05/26 | 2020/12/30 | 12.50          |
| 52009    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 F | 50,000,000   | 2020/05/26 | 2020/12/30 | 12.50          |
| 57002    | Credit Suisse AG - Alibaba Group R Bull CBBC Sep 2020 K    | 50,000,000   | 2020/05/26 | 2020/09/29 | 12.50          |
| 56521    | Credit Suisse AG - HKEX R Bull CBBC Sep 2020 G             | 50,000,000   | 2020/05/26 | 2020/09/29 | 12.50          |
| 56456    | Credit Suisse AG - HKEX R Bull CBBC Nov 2020 C             | 100,000,000  | 2020/05/26 | 2020/11/27 | 25.00          |
| 56289    | Credit Suisse AG - HSBC R Bull CBBC Dec 2020 I             | 70,000,000   | 2020/05/26 | 2020/12/30 | 17.50          |
| 57010    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 K              | 200,000,000  | 2020/05/26 | 2023/01/30 | 50.00          |
| 57029    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 L              | 200,000,000  | 2020/05/26 | 2023/01/30 | 50.00          |
| 57008    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 N              | 200,000,000  | 2020/05/26 | 2023/02/27 | 50.00          |
| 57015    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 O              | 200,000,000  | 2020/05/26 | 2023/02/27 | 50.00          |
| 56104    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 N              | 200,000,000  | 2020/05/26 | 2020/10/29 | 50.00          |
| 56113    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 O              | 200,000,000  | 2020/05/26 | 2020/10/29 | 50.00          |
| 56280    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 P              | 200,000,000  | 2020/05/26 | 2020/10/29 | 50.00          |
| 56156    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 K              | 200,000,000  | 2020/05/26 | 2020/11/27 | 50.00          |
| 56184    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 P              | 200,000,000  | 2020/05/26 | 2020/11/27 | 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 57005    | Credit Suisse AG - Meituan Dianping R Bull CBBC Oct 2020 G  | 80,000,000   | 2020/05/26 | 2020/10/29 | 20.00          |
| 56422    | Credit Suisse AG - Sands China R Bull CBBC Apr 2021 A       | 70,000,000   | 2020/05/26 | 2021/04/29 | 17.50          |
| 57001    | Credit Suisse AG - Xiaomi R Bull CBBC Nov 2020 G            | 50,000,000   | 2020/05/26 | 2020/11/27 | 12.50          |
| 57677    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 W    | 60,000,000   | 2020/05/26 | 2020/10/30 | 15.00          |
| 57665    | Goldman Sachs SP (Asia) - China Life R Bull CBBC Jun 2021 A | 80,000,000   | 2020/05/26 | 2021/06/01 | 20.00          |
| 57516    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 W        | 160,000,000  | 2020/05/26 | 2023/04/27 | 40.00          |
| 57558    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Apr 2023 X        | 160,000,000  | 2020/05/26 | 2023/04/27 | 40.00          |
| 57595    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 G        | 160,000,000  | 2020/05/26 | 2023/05/30 | 40.00          |
| 57485    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 Q        | 160,000,000  | 2020/05/26 | 2020/08/28 | 40.00          |
| 57502    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 G        | 160,000,000  | 2020/05/26 | 2021/02/25 | 40.00          |
| 57500    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 J        | 160,000,000  | 2020/05/26 | 2021/02/25 | 40.00          |
| 57501    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 K        | 160,000,000  | 2020/05/26 | 2021/02/25 | 40.00          |
| 57622    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 L        | 160,000,000  | 2020/05/26 | 2021/02/25 | 40.00          |
| 57639    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 M        | 160,000,000  | 2020/05/26 | 2021/02/25 | 40.00          |
| 57649    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 G    | 60,000,000   | 2020/05/26 | 2020/10/30 | 15.00          |
| 57645    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Oct 2020 A    | 60,000,000   | 2020/05/26 | 2020/10/30 | 15.00          |
| 57644    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 L    | 60,000,000   | 2020/05/26 | 2020/10/30 | 15.00          |
| 57643    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Oct 2020 D    | 60,000,000   | 2020/05/26 | 2020/10/30 | 22.62          |
| 57651    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Oct 2020 E     | 60,000,000   | 2020/05/26 | 2020/10/30 | 15.00          |
| 52088    | HK Bank - AIA R Bull CBBC Nov 2020 E                        | 60,000,000   | 2020/05/26 | 2020/11/02 | 15.00          |
| 52087    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 F              | 40,000,000   | 2020/05/26 | 2020/11/02 | 10.00          |
| 52089    | HK Bank - ANTA Sports R Bull CBBC Nov 2020 C                | 40,000,000   | 2020/05/26 | 2020/11/16 | 10.00          |
| 52061    | HK Bank - CNOOC R Bull CBBC Nov 2020 D                      | 40,000,000   | 2020/05/26 | 2020/11/16 | 10.00          |
| 52043    | HK Bank - HKEX R Bull CBBC Oct 2020 G                       | 40,000,000   | 2020/05/26 | 2020/10/22 | 10.00          |
| 52040    | HK Bank - HKEX R Bear CBBC Nov 2020 B                       | 100,000,000  | 2020/05/26 | 2020/11/16 | 25.00          |
| 52053    | HK Bank - HSI R Bull CBBC Sep 2022 U                        | 60,000,000   | 2020/05/26 | 2022/09/29 | 15.00          |
| 52051    | HK Bank - HSI R Bull CBBC Dec 2022 G                        | 100,000,000  | 2020/05/26 | 2022/12/29 | 25.00          |
| 52031    | HK Bank - HSI R Bear CBBC Sep 2020 F                        | 100,000,000  | 2020/05/26 | 2020/09/29 | 25.00          |
| 52098    | HK Bank - Meituan Dianping R Bull CBBC Oct 2020 E           | 40,000,000   | 2020/05/26 | 2020/10/22 | 10.00          |
| 52084    | HK Bank - Ping An R Bull CBBC Nov 2020 C                    | 60,000,000   | 2020/05/26 | 2020/11/16 | 15.00          |
| 52038    | HK Bank - Tencent R Bull CBBC Oct 2020 J                    | 40,000,000   | 2020/05/26 | 2020/10/22 | 10.00          |
| 52037    | HK Bank - Tencent R Bear CBBC Oct 2020 E                    | 40,000,000   | 2020/05/26 | 2020/10/22 | 10.00          |
| 56055    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Nov 2020 G    | 60,000,000   | 2020/05/26 | 2020/11/27 | 15.00          |
| 55840    | Haitong Int'l Sec - Alibaba Group R Bear CBBC Nov 2020 H    | 60,000,000   | 2020/05/26 | 2020/11/27 | 15.00          |
| 56071    | Haitong Int'l Sec - HKEX R Bull CBBC Dec 2020 B             | 60,000,000   | 2020/05/26 | 2020/12/17 | 15.00          |
| 55872    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 I              | 300,000,000  | 2020/05/26 | 2022/10/28 | 75.00          |
| 55893    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 J              | 150,000,000  | 2020/05/26 | 2022/10/28 | 37.50          |
| 56075    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 L              | 150,000,000  | 2020/05/26 | 2023/03/30 | 37.50          |
| 55841    | Haitong Int'l Sec - HSI R Bear CBBC Aug 2020 K              | 150,000,000  | 2020/05/26 | 2020/08/28 | 37.50          |
| 55733    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 E              | 150,000,000  | 2020/05/26 | 2020/11/27 | 37.50          |
| 55744    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 S              | 150,000,000  | 2020/05/26 | 2021/01/28 | 37.50          |
| 55984    | Haitong Int'l Sec - SMIC R Bull CBBC Feb 2021 A             | 100,000,000  | 2020/05/26 | 2021/02/25 | 25.00          |
| 55745    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 R          | 60,000,000   | 2020/05/26 | 2020/11/27 | 15.00          |
| 55769    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 S          | 60,000,000   | 2020/05/26 | 2020/11/27 | 15.00          |
| 53706    | J P Morgan SP BV - Alibaba Group R Bull CBBC Dec 2020 D     | 80,000,000   | 2020/05/26 | 2020/12/11 | 20.00          |

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| 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 53574    | J P Morgan SP BV - HSCEI R Bull CBBC Sep 2022 A              | 100,000,000  | 2020/05/26 | 2022/09/29 | 25.00          |
| 53672    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 X                | 200,000,000  | 2020/05/26 | 2023/02/27 | 50.00          |
| 53287    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 Q                | 200,000,000  | 2020/05/26 | 2023/03/30 | 50.00          |
| 53317    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 L                | 200,000,000  | 2020/05/26 | 2023/04/27 | 50.00          |
| 53358    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 M                | 200,000,000  | 2020/05/26 | 2023/04/27 | 50.00          |
| 53429    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 C                | 200,000,000  | 2020/05/26 | 2023/09/28 | 50.00          |
| 53079    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 F                | 200,000,000  | 2020/05/26 | 2020/10/29 | 50.00          |
| 53159    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 C                | 200,000,000  | 2020/05/26 | 2020/11/27 | 50.00          |
| 53090    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 G                | 200,000,000  | 2020/05/26 | 2020/11/27 | 50.00          |
| 53200    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 I                | 200,000,000  | 2020/05/26 | 2020/11/27 | 50.00          |
| 53204    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 M                | 200,000,000  | 2020/05/26 | 2020/11/27 | 50.00          |
| 53712    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Dec 2020 A   | 80,000,000   | 2020/05/26 | 2020/12/11 | 21.60          |
| 53711    | J P Morgan SP BV - Tencent R Bear CBBC Dec 2020 A            | 50,000,000   | 2020/05/26 | 2020/12/11 | 12.50          |
| 53713    | J P Morgan SP BV - Xiaomi R Bull CBBC Dec 2020 A             | 80,000,000   | 2020/05/26 | 2020/12/11 | 20.00          |
| 52180    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 J    | 150,000,000  | 2020/05/26 | 2023/02/27 | 37.50          |
| 52181    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 K    | 150,000,000  | 2020/05/26 | 2023/02/27 | 37.50          |
| 52023    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 R    | 150,000,000  | 2020/05/26 | 2020/10/29 | 37.50          |
| 52019    | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 G    | 150,000,000  | 2020/05/26 | 2020/11/27 | 37.50          |
| 52099    | Morgan Stanley Asia Products - Meituan R Bull CBBC Nov2020 B | 40,000,000   | 2020/05/26 | 2020/11/02 | 10.00          |
| 52100    | Morgan Stanley Asia Products - Meituan R Bear CBBC Dec2020 H | 40,000,000   | 2020/05/26 | 2020/12/01 | 10.00          |
| 57219    | SG Issuer - AIA R Bull CBBC Dec 2020 Q                       | 60,000,000   | 2020/05/26 | 2020/12/30 | 15.00          |
| 57034    | SG Issuer - AIA R Bear CBBC Jan 2021 A                       | 60,000,000   | 2020/05/26 | 2021/01/28 | 15.00          |
| 57335    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 W             | 60,000,000   | 2020/05/26 | 2020/10/30 | 15.00          |
| 57336    | SG Issuer - Alibaba Group R Bull CBBC Oct 2020 X             | 60,000,000   | 2020/05/26 | 2020/10/30 | 15.00          |
| 57085    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 Y             | 60,000,000   | 2020/05/26 | 2020/11/27 | 15.00          |
| 57095    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 Z             | 60,000,000   | 2020/05/26 | 2020/12/30 | 15.00          |
| 57109    | SG Issuer - Galaxy Ent R Bear CBBC Dec 2020 I                | 100,000,000  | 2020/05/26 | 2020/12/31 | 25.00          |
| 57343    | SG Issuer - HKEX R Bull CBBC Oct 2020 O                      | 50,000,000   | 2020/05/26 | 2020/10/30 | 12.50          |
| 57345    | SG Issuer - HKEX R Bull CBBC Nov 2020 C                      | 50,000,000   | 2020/05/26 | 2020/11/30 | 12.50          |
| 57346    | SG Issuer - HKEX R Bull CBBC Nov 2020 D                      | 50,000,000   | 2020/05/26 | 2020/11/30 | 12.50          |
| 57123    | SG Issuer - HKEX R Bear CBBC Dec 2020 H                      | 50,000,000   | 2020/05/26 | 2020/12/31 | 12.50          |
| 57128    | SG Issuer - HKEX R Bear CBBC Jan 2021 B                      | 200,000,000  | 2020/05/26 | 2021/01/29 | 50.00          |
| 57360    | SG Issuer - HKEX R Bear CBBC Jan 2021 C                      | 50,000,000   | 2020/05/26 | 2021/01/28 | 19.00          |
| 57253    | SG Issuer - HSI R Bull CBBC Apr 2023 Y                       | 250,000,000  | 2020/05/26 | 2023/04/27 | 62.50          |
| 57263    | SG Issuer - HSI R Bull CBBC May 2023 I                       | 250,000,000  | 2020/05/26 | 2023/05/30 | 62.50          |
| 57272    | SG Issuer - HSI R Bull CBBC May 2023 J                       | 250,000,000  | 2020/05/26 | 2023/05/30 | 62.50          |
| 57322    | SG Issuer - HSI R Bull CBBC May 2023 K                       | 250,000,000  | 2020/05/26 | 2023/05/30 | 62.50          |
| 57192    | SG Issuer - HSI R Bear CBBC Aug 2020 D                       | 250,000,000  | 2020/05/26 | 2020/08/28 | 62.50          |
| 57187    | SG Issuer - HSI R Bear CBBC Aug 2020 W                       | 250,000,000  | 2020/05/26 | 2020/08/28 | 62.50          |
| 57208    | SG Issuer - HSI R Bear CBBC Sep 2020 G                       | 250,000,000  | 2020/05/26 | 2020/09/29 | 62.50          |
| 57216    | SG Issuer - HSI R Bear CBBC Oct 2020 A                       | 250,000,000  | 2020/05/26 | 2020/10/29 | 62.50          |
| 57236    | SG Issuer - HSI R Bear CBBC Nov 2020 V                       | 250,000,000  | 2020/05/26 | 2020/11/27 | 62.50          |
| 57249    | SG Issuer - HSI R Bear CBBC Nov 2020 W                       | 250,000,000  | 2020/05/26 | 2020/11/27 | 62.50          |
| 57245    | SG Issuer - HSI R Bear CBBC Nov 2020 X                       | 250,000,000  | 2020/05/26 | 2020/11/27 | 62.50          |
| 57237    | SG Issuer - HSI R Bear CBBC Jan 2021 Y                       | 500,000,000  | 2020/05/26 | 2021/01/28 | 125.00         |

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| 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) |
|----------|------------------------------------------------------|--------------|------------|------------|----------------|
| 57362    | SG Issuer - Meituan Dianping R Bull CBBC Oct 2020 M  | 100,000,000  | 2020/05/26 | 2020/10/30 | 25.00          |
| 57371    | SG Issuer - Meituan Dianping R Bull CBBC Nov 2020 O  | 100,000,000  | 2020/05/26 | 2020/11/30 | 25.00          |
| 57159    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 B  | 100,000,000  | 2020/05/26 | 2021/01/28 | 25.00          |
| 57394    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 C  | 100,000,000  | 2020/05/26 | 2021/01/28 | 25.00          |
| 57395    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 C  | 100,000,000  | 2020/05/26 | 2021/02/25 | 38.00          |
| 57424    | SG Issuer - Ping An R Bull CBBC Dec 2020 B           | 100,000,000  | 2020/05/26 | 2020/12/30 | 25.00          |
| 57473    | SG Issuer - SMIC R Bull CBBC Mar 2021 A              | 120,000,000  | 2020/05/26 | 2021/03/30 | 30.00          |
| 57476    | SG Issuer - Tencent R Bull CBBC Nov 2020 N           | 80,000,000   | 2020/05/26 | 2020/11/30 | 20.00          |
| 57175    | SG Issuer - Tencent R Bear CBBC Jan 2021 N           | 80,000,000   | 2020/05/26 | 2021/01/28 | 20.00          |
| 57222    | SG Issuer - Tencent R Bear CBBC Jan 2021 O           | 80,000,000   | 2020/05/26 | 2021/01/28 | 20.00          |
| 57477    | SG Issuer - Xiaomi R Bull CBBC Nov 2020 G            | 60,000,000   | 2020/05/26 | 2020/11/30 | 15.00          |
| 52998    | UBS AG - Alibaba Group R Bull CBBC Jan 2021 C        | 80,000,000   | 2020/05/26 | 2021/01/29 | 20.00          |
| 52408    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 I        | 80,000,000   | 2020/05/26 | 2021/02/10 | 20.00          |
| 52268    | UBS AG - Alibaba Group R Bear CBBC Nov 2020 C        | 80,000,000   | 2020/05/26 | 2020/11/30 | 20.00          |
| 52299    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 D        | 400,000,000  | 2020/05/26 | 2021/02/26 | 100.00         |
| 52393    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 E        | 400,000,000  | 2020/05/26 | 2021/02/10 | 100.00         |
| 52388    | UBS AG - China Mobile R Bear CBBC Dec 2020 B         | 60,000,000   | 2020/05/26 | 2020/12/30 | 15.00          |
| 52385    | UBS AG - CNOOC R Bear CBBC Dec 2020 F                | 40,000,000   | 2020/05/26 | 2020/12/22 | 10.40          |
| 52935    | UBS AG - HKEX R Bull CBBC Jan 2021 D                 | 50,000,000   | 2020/05/26 | 2021/01/29 | 12.50          |
| 52779    | UBS AG - HKEX R Bear CBBC Dec 2020 E                 | 50,000,000   | 2020/05/26 | 2020/12/21 | 12.50          |
| 52789    | UBS AG - HKEX R Bear CBBC Dec 2020 F                 | 50,000,000   | 2020/05/26 | 2020/12/30 | 13.00          |
| 52503    | UBS AG - HSI R Bull CBBC Oct 2022 F                  | 200,000,000  | 2020/05/26 | 2022/10/28 | 50.00          |
| 52536    | UBS AG - HSI R Bull CBBC Oct 2022 P                  | 200,000,000  | 2020/05/26 | 2022/10/28 | 50.00          |
| 52207    | UBS AG - HSI R Bear CBBC Sep 2020 L                  | 200,000,000  | 2020/05/26 | 2020/09/29 | 50.00          |
| 52216    | UBS AG - HSI R Bear CBBC Sep 2020 N                  | 200,000,000  | 2020/05/26 | 2020/09/29 | 50.00          |
| 52247    | UBS AG - HSI R Bear CBBC Sep 2020 O                  | 200,000,000  | 2020/05/26 | 2020/09/29 | 50.00          |
| 52262    | UBS AG - HSI R Bear CBBC Sep 2020 Q                  | 200,000,000  | 2020/05/26 | 2020/09/29 | 50.00          |
| 52450    | UBS AG - HSI R Bear CBBC Sep 2020 S                  | 200,000,000  | 2020/05/26 | 2020/09/29 | 50.00          |
| 52800    | UBS AG - Meituan Dianping R Bull CBBC Jan 2021 C     | 50,000,000   | 2020/05/26 | 2021/01/29 | 12.50          |
| 52865    | UBS AG - Meituan Dianping R Bull CBBC Dec 2021 B     | 200,000,000  | 2020/05/26 | 2021/12/30 | 50.00          |
| 52410    | UBS AG - Meituan Dianping R Bear CBBC Jan 2021 B     | 50,000,000   | 2020/05/26 | 2021/01/28 | 12.50          |
| 52391    | UBS AG - SMIC R Bull CBBC Feb 2021 A                 | 100,000,000  | 2020/05/26 | 2021/02/26 | 25.00          |
| 52437    | UBS AG - Tencent R Bull CBBC Mar 2021 D              | 200,000,000  | 2020/05/26 | 2021/03/01 | 50.00          |
| 52304    | UBS AG - Tencent R Bear CBBC Dec 2020 B              | 40,000,000   | 2020/05/26 | 2020/12/07 | 10.00          |
| 52308    | UBS AG - Tencent R Bear CBBC Jan 2021 I              | 200,000,000  | 2020/05/26 | 2021/01/04 | 50.00          |
| 52869    | UBS AG - Xiaomi R Bull CBBC Jan 2021 C               | 50,000,000   | 2020/05/26 | 2021/01/29 | 12.50          |
| 52934    | UBS AG - Xiaomi R Bull CBBC Dec 2021 B               | 200,000,000  | 2020/05/26 | 2021/12/30 | 50.00          |
| 52341    | UBS AG - Xiaomi R Bear CBBC Feb 2021 B               | 150,000,000  | 2020/05/26 | 2021/02/26 | 37.50          |
| 52499    | UBS AG - Xiaomi R Bear CBBC Feb 2021 C               | 150,000,000  | 2020/05/26 | 2021/02/10 | 37.50          |
| 54186    | Bank Vontobel - AIA R Bull CBBC Feb 2021 A           | 40,000,000   | 2020/05/26 | 2021/02/05 | 10.00          |
| 54274    | Bank Vontobel - Alibaba Group R Bull CBBC Feb 2021 A | 40,000,000   | 2020/05/26 | 2021/02/05 | 10.00          |
| 54135    | Bank Vontobel - CNOOC R Bull CBBC Apr 2021 B         | 40,000,000   | 2020/05/26 | 2021/04/16 | 10.00          |
| 53765    | Bank Vontobel - HKEX R Bull CBBC Jan 2021 B          | 40,000,000   | 2020/05/26 | 2021/01/22 | 10.00          |
| 54713    | Bank Vontobel - HSI R Bull CBBC Dec 2022 I           | 80,000,000   | 2020/05/26 | 2022/12/29 | 20.00          |
| 54800    | Bank Vontobel - HSI R Bull CBBC Dec 2022 J           | 80,000,000   | 2020/05/26 | 2022/12/29 | 20.00          |

# 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 54378    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 J    | 60,000,000   | 2020/05/26 | 2021/01/22 | 15.00          |
| 54287    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 C    | 60,000,000   | 2020/05/26 | 2021/02/05 | 15.00          |
| 54379    | Bank Vontobel - Meituan Dianping R Bear CBBC Dec 2020 Y    | 40,000,000   | 2020/05/26 | 2020/12/18 | 15.20          |
| 54129    | Bank Vontobel - Tencent R Bull CBBC Jan 2021 D             | 40,000,000   | 2020/05/26 | 2021/01/22 | 10.00          |
| 54516    | Bank Vontobel - Xiaomi R Bull CBBC Feb 2021 C              | 40,000,000   | 2020/05/26 | 2021/02/05 | 10.00          |
| 54711    | Bank Vontobel - Xiaomi R Bull CBBC Feb 2021 D              | 40,000,000   | 2020/05/26 | 2021/02/19 | 10.00          |
| 57891    | BOCI Asia Ltd. - Geely Auto R Bull CBBC Dec 2020 B         | 40,000,000   | 2020/05/27 | 2020/12/31 | 10.00          |
| 57783    | BOCI Asia Ltd. - HKEX R Bull CBBC Nov 2020 B               | 40,000,000   | 2020/05/27 | 2020/11/30 | 10.00          |
| 57785    | BOCI Asia Ltd. - HKEX R Bull CBBC Nov 2020 C               | 40,000,000   | 2020/05/27 | 2020/11/30 | 10.00          |
| 57780    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 R                | 150,000,000  | 2020/05/27 | 2023/01/30 | 37.50          |
| 57782    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 V                | 150,000,000  | 2020/05/27 | 2020/10/29 | 37.50          |
| 57823    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 P   | 40,000,000   | 2020/05/27 | 2020/12/30 | 10.00          |
| 57828    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 J   | 40,000,000   | 2020/05/27 | 2020/12/30 | 10.00          |
| 57805    | BOCI Asia Ltd. - Ping An R Bull CBBC Nov 2020 A            | 60,000,000   | 2020/05/27 | 2020/11/30 | 15.00          |
| 57816    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 Z            | 40,000,000   | 2020/05/27 | 2020/12/30 | 10.00          |
| 57880    | BOCI Asia Ltd. - Xiaomi R Bull CBBC Dec 2020 D             | 40,000,000   | 2020/05/27 | 2020/12/31 | 10.00          |
| 58238    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 V     | 140,000,000  | 2020/05/27 | 2022/10/28 | 35.00          |
| 58289    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 B     | 240,000,000  | 2020/05/27 | 2020/12/30 | 60.00          |
| 58546    | Credit Suisse AG - AAC Tech R Bull CBBC Dec 2020 E         | 80,000,000   | 2020/05/27 | 2020/12/18 | 20.00          |
| 58519    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 M              | 200,000,000  | 2020/05/27 | 2023/01/30 | 50.00          |
| 58522    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 N              | 200,000,000  | 2020/05/27 | 2023/01/30 | 50.00          |
| 58562    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 P              | 200,000,000  | 2020/05/27 | 2023/01/30 | 50.00          |
| 58523    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 S              | 200,000,000  | 2020/05/27 | 2020/10/29 | 50.00          |
| 58531    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 T              | 200,000,000  | 2020/05/27 | 2020/10/29 | 50.00          |
| 58534    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 C              | 300,000,000  | 2020/05/27 | 2020/12/30 | 75.00          |
| 58536    | Credit Suisse AG - Meituan Dianping R Bear CBBC Dec 2020 D | 100,000,000  | 2020/05/27 | 2020/12/30 | 25.00          |
| 58535    | Credit Suisse AG - Meituan Dianping R Bear CBBC Jan 2021 A | 100,000,000  | 2020/05/27 | 2021/01/28 | 25.00          |
| 58537    | Credit Suisse AG - Tencent R Bull CBBC Nov 2020 M          | 50,000,000   | 2020/05/27 | 2020/11/27 | 12.50          |
| 58593    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 X   | 60,000,000   | 2020/05/27 | 2020/10/30 | 15.00          |
| 58645    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 Y   | 60,000,000   | 2020/05/27 | 2020/10/30 | 15.00          |
| 58613    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Jun 2021 C      | 80,000,000   | 2020/05/27 | 2021/06/01 | 20.00          |
| 58650    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 F       | 160,000,000  | 2020/05/27 | 2023/05/30 | 40.00          |
| 58569    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 T       | 160,000,000  | 2020/05/27 | 2023/05/30 | 40.00          |
| 58649    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 U       | 160,000,000  | 2020/05/27 | 2023/05/30 | 40.00          |
| 58646    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 R       | 160,000,000  | 2020/05/27 | 2020/08/28 | 40.00          |
| 58648    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 V       | 160,000,000  | 2020/05/27 | 2020/08/28 | 40.00          |
| 58568    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 U       | 160,000,000  | 2020/05/27 | 2021/02/25 | 40.00          |
| 58601    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 H   | 60,000,000   | 2020/05/27 | 2020/10/30 | 15.00          |
| 58589    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 M   | 60,000,000   | 2020/05/27 | 2020/10/30 | 15.00          |
| 58642    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 N   | 60,000,000   | 2020/05/27 | 2020/10/30 | 15.00          |
| 58584    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Mar 2021 K   | 80,000,000   | 2020/05/27 | 2021/03/01 | 20.00          |
| 58605    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Oct 2020 F    | 60,000,000   | 2020/05/27 | 2020/10/30 | 15.00          |
| 57701    | HK Bank - AAC Tech R Bull CBBC Dec 2020 C                  | 40,000,000   | 2020/05/27 | 2020/12/14 | 10.00          |
| 57698    | HK Bank - Alibaba Group R Bull CBBC Oct 2020 I             | 40,000,000   | 2020/05/27 | 2020/10/19 | 10.00          |
| 57696    | HK Bank - HKEX R Bull CBBC Oct 2020 H                      | 40,000,000   | 2020/05/27 | 2020/10/12 | 10.00          |

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| 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 57678    | HK Bank - HSI R Bull CBBC Sep 2022 W                         | 100,000,000  | 2020/05/27 | 2022/09/29 | 25.00          |
| 57700    | HK Bank - HSI R Bear CBBC Sep 2020 G                         | 60,000,000   | 2020/05/27 | 2020/09/29 | 15.00          |
| 57768    | HK Bank - Meituan Dianping R Bull CBBC Nov 2020 C            | 40,000,000   | 2020/05/27 | 2020/11/09 | 10.00          |
| 57776    | HK Bank - Meituan Dianping R Bear CBBC Jan 2021 A            | 100,000,000  | 2020/05/27 | 2021/01/11 | 25.00          |
| 57741    | HK Bank - Tencent R Bull CBBC Nov 2020 E                     | 40,000,000   | 2020/05/27 | 2020/11/12 | 10.00          |
| 57690    | HK Bank - Tencent R Bear CBBC Oct 2020 F                     | 40,000,000   | 2020/05/27 | 2020/10/12 | 10.00          |
| 57774    | HK Bank - ZTE R Bull CBBC Nov 2020 C                         | 40,000,000   | 2020/05/27 | 2020/11/19 | 10.00          |
| 58180    | J P Morgan SP BV - Alibaba Group R Bull CBBC Dec 2020 E      | 80,000,000   | 2020/05/27 | 2020/12/11 | 20.00          |
| 58230    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 T                | 240,000,000  | 2020/05/27 | 2023/01/30 | 60.00          |
| 58213    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Y                | 200,000,000  | 2020/05/27 | 2023/02/27 | 50.00          |
| 58169    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 R                | 200,000,000  | 2020/05/27 | 2023/03/30 | 50.00          |
| 58205    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 N                | 200,000,000  | 2020/05/27 | 2023/04/27 | 50.00          |
| 58187    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 L                | 200,000,000  | 2020/05/27 | 2020/10/29 | 50.00          |
| 58188    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 M                | 200,000,000  | 2020/05/27 | 2021/01/28 | 50.00          |
| 58181    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Dec 2020 A   | 80,000,000   | 2020/05/27 | 2020/12/11 | 20.00          |
| 58171    | J P Morgan SP BV - Tencent R Bull CBBC Dec 2020 A            | 50,000,000   | 2020/05/27 | 2020/12/18 | 12.50          |
| 58127    | Morgan Stanley Asia Products - HKEX R Bull CBBC Dec 2020 B   | 40,000,000   | 2020/05/27 | 2020/12/15 | 10.00          |
| 58087    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 O    | 150,000,000  | 2020/05/27 | 2023/01/30 | 37.50          |
| 58088    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 S    | 150,000,000  | 2020/05/27 | 2020/10/29 | 37.50          |
| 58102    | Morgan Stanley Asia Products - Tencent R Bull CBBC Sep 2020F | 40,000,000   | 2020/05/27 | 2020/09/01 | 10.00          |
| 58101    | Morgan Stanley Asia Products - Tencent R Bear CBBC Dec 2020J | 40,000,000   | 2020/05/27 | 2020/12/01 | 10.00          |
| 58119    | Morgan Stanley Asia Products - Tencent R Bear CBBC Jan 2021G | 40,000,000   | 2020/05/27 | 2021/01/18 | 10.00          |
| 58118    | Morgan Stanley Asia Products - Tencent R Bear CBBC Mar 2021B | 40,000,000   | 2020/05/27 | 2021/03/01 | 10.00          |
| 58426    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 Y             | 60,000,000   | 2020/05/27 | 2020/09/29 | 15.00          |
| 58430    | SG Issuer - Alibaba Group R Bull CBBC Sep 2020 Z             | 60,000,000   | 2020/05/27 | 2020/09/30 | 15.00          |
| 58317    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 A             | 60,000,000   | 2020/05/27 | 2020/12/31 | 15.00          |
| 58328    | SG Issuer - HSBC R Bull CBBC Apr 2021 F                      | 100,000,000  | 2020/05/27 | 2021/04/29 | 25.00          |
| 58310    | SG Issuer - HSI R Bull CBBC Nov 2022 R                       | 250,000,000  | 2020/05/27 | 2022/11/29 | 62.50          |
| 58311    | SG Issuer - HSI R Bull CBBC Apr 2023 F                       | 250,000,000  | 2020/05/27 | 2023/04/27 | 62.50          |
| 58312    | SG Issuer - HSI R Bull CBBC May 2023 L                       | 250,000,000  | 2020/05/27 | 2023/05/30 | 62.50          |
| 58401    | SG Issuer - HSI R Bull CBBC May 2023 O                       | 250,000,000  | 2020/05/27 | 2023/05/30 | 62.50          |
| 58354    | SG Issuer - HSI R Bear CBBC Sep 2020 B                       | 250,000,000  | 2020/05/27 | 2020/09/29 | 62.50          |
| 58404    | SG Issuer - HSI R Bear CBBC Oct 2020 G                       | 250,000,000  | 2020/05/27 | 2020/10/29 | 62.50          |
| 58405    | SG Issuer - HSI R Bear CBBC Nov 2020 Z                       | 250,000,000  | 2020/05/27 | 2020/11/27 | 62.50          |
| 58441    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 B          | 100,000,000  | 2020/05/27 | 2020/12/29 | 25.00          |
| 58344    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 M          | 100,000,000  | 2020/05/27 | 2020/12/31 | 25.00          |
| 58292    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 D          | 100,000,000  | 2020/05/27 | 2021/01/28 | 25.00          |
| 58469    | SG Issuer - Meituan Dianping R Bear CBBC Apr 2021 A          | 200,000,000  | 2020/05/27 | 2021/04/30 | 50.00          |
| 58477    | SG Issuer - Tencent R Bull CBBC Aug 2020 U                   | 80,000,000   | 2020/05/27 | 2020/08/31 | 20.00          |
| 58483    | SG Issuer - Tencent R Bull CBBC Dec 2020 S                   | 80,000,000   | 2020/05/27 | 2020/12/29 | 20.00          |
| 58345    | SG Issuer - Tencent R Bear CBBC Jan 2021 P                   | 200,000,000  | 2020/05/27 | 2021/01/28 | 50.00          |
| 58348    | SG Issuer - Tencent R Bear CBBC Jan 2021 Q                   | 80,000,000   | 2020/05/27 | 2021/01/29 | 20.00          |
| 58295    | SG Issuer - Tencent R Bear CBBC Feb 2021 U                   | 80,000,000   | 2020/05/27 | 2021/02/25 | 20.00          |
| 58302    | SG Issuer - Tencent R Bear CBBC Mar 2021 E                   | 80,000,000   | 2020/05/27 | 2021/03/31 | 20.00          |
| 57962    | UBS AG - Alibaba Group R Bull CBBC Jan 2021 D                | 80,000,000   | 2020/05/27 | 2021/01/04 | 20.00          |



## 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 57960    | UBS AG - Alibaba Group R Bull CBBC Mar 2021 B              | 400,000,000  | 2020/05/27 | 2021/03/31 | 100.00         |
| 58032    | UBS AG - Alibaba Group R Bull CBBC Mar 2021 C              | 80,000,000   | 2020/05/27 | 2021/03/23 | 20.00          |
| 57978    | UBS AG - Alibaba Group R Bear CBBC Mar 2021 A              | 400,000,000  | 2020/05/27 | 2021/03/31 | 172.00         |
| 57947    | UBS AG - ANTA Sports R Bull CBBC Dec 2020 B                | 50,000,000   | 2020/05/27 | 2020/12/30 | 12.50          |
| 58085    | UBS AG - HKEX R Bull CBBC Mar 2021 A                       | 50,000,000   | 2020/05/27 | 2021/03/23 | 12.50          |
| 57900    | UBS AG - HKEX R Bear CBBC Dec 2020 G                       | 50,000,000   | 2020/05/27 | 2020/12/22 | 12.50          |
| 57906    | UBS AG - HKEX R Bear CBBC Jan 2021 D                       | 50,000,000   | 2020/05/27 | 2021/01/19 | 23.50          |
| 58014    | UBS AG - HSI R Bull CBBC Mar 2023 D                        | 200,000,000  | 2020/05/27 | 2023/03/30 | 50.00          |
| 57998    | UBS AG - HSI R Bull CBBC Mar 2023 W                        | 200,000,000  | 2020/05/27 | 2023/03/30 | 50.00          |
| 57985    | UBS AG - HSI R Bull CBBC Apr 2023 V                        | 200,000,000  | 2020/05/27 | 2023/04/27 | 50.00          |
| 58015    | UBS AG - HSI R Bear CBBC Oct 2020 E                        | 200,000,000  | 2020/05/27 | 2020/10/29 | 50.00          |
| 58016    | UBS AG - HSI R Bear CBBC Oct 2020 I                        | 200,000,000  | 2020/05/27 | 2020/10/29 | 50.00          |
| 58020    | UBS AG - HSI R Bear CBBC Oct 2020 U                        | 200,000,000  | 2020/05/27 | 2020/10/29 | 50.00          |
| 57983    | UBS AG - HSI R Bear CBBC Oct 2020 W                        | 200,000,000  | 2020/05/27 | 2020/10/29 | 50.00          |
| 57952    | UBS AG - Meituan Dianping R Bull CBBC Jan 2021 D           | 50,000,000   | 2020/05/27 | 2021/01/04 | 12.50          |
| 57917    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 X           | 50,000,000   | 2020/05/27 | 2020/12/09 | 12.50          |
| 57924    | UBS AG - Meituan Dianping R Bear CBBC Jan 2021 C           | 50,000,000   | 2020/05/27 | 2021/01/04 | 12.50          |
| 58071    | UBS AG - Tencent R Bull CBBC Mar 2021 E                    | 40,000,000   | 2020/05/27 | 2021/03/23 | 10.00          |
| 57925    | UBS AG - Tencent R Bear CBBC Dec 2020 F                    | 40,000,000   | 2020/05/27 | 2020/12/22 | 10.00          |
| 57939    | UBS AG - Tencent R Bear CBBC Jan 2021 J                    | 40,000,000   | 2020/05/27 | 2021/01/27 | 27.20          |
| 57979    | UBS AG - Xiaomi R Bear CBBC Jan 2021 A                     | 60,000,000   | 2020/05/27 | 2021/01/28 | 15.00          |
| 58487    | Bank Vontobel - AAC Tech R Bull CBBC Jan 2021 A            | 40,000,000   | 2020/05/27 | 2021/01/22 | 10.00          |
| 58507    | Bank Vontobel - China Life R Bull CBBC Mar 2021 E          | 80,000,000   | 2020/05/27 | 2021/03/19 | 20.00          |
| 58518    | Bank Vontobel - Meituan Dianping R Bull CBBC Mar 2021 A    | 60,000,000   | 2020/05/27 | 2021/03/05 | 15.00          |
| 58511    | Bank Vontobel - Xiaomi R Bear CBBC Feb 2021 A              | 40,000,000   | 2020/05/27 | 2021/02/05 | 10.00          |
| 58976    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 W                | 150,000,000  | 2020/05/28 | 2020/10/29 | 37.50          |
| 58787    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 Q   | 40,000,000   | 2020/05/28 | 2020/12/30 | 10.00          |
| 58793    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 K   | 40,000,000   | 2020/05/28 | 2020/12/30 | 10.00          |
| 58672    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2020 P    | 50,000,000   | 2020/05/28 | 2020/09/29 | 12.50          |
| 58673    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 J    | 50,000,000   | 2020/05/28 | 2020/11/27 | 12.50          |
| 58690    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 K    | 50,000,000   | 2020/05/28 | 2020/11/27 | 15.00          |
| 59049    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 N     | 140,000,000  | 2020/05/28 | 2022/10/28 | 35.00          |
| 59050    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 C     | 250,000,000  | 2020/05/28 | 2020/12/30 | 62.50          |
| 58670    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 K | 50,000,000   | 2020/05/28 | 2020/11/27 | 12.50          |
| 58671    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 L | 50,000,000   | 2020/05/28 | 2020/11/27 | 25.00          |
| 58651    | BNP Paribas Issuance B.V. - Xiaomi R Bull CBBC Nov 2020 X  | 50,000,000   | 2020/05/28 | 2020/11/27 | 12.50          |
| 58656    | BNP Paribas Issuance B.V. - Xiaomi R Bear CBBC Nov 2020 K  | 50,000,000   | 2020/05/28 | 2020/11/27 | 12.50          |
| 59444    | Credit Suisse AG - Alibaba Group R Bull CBBC Nov 2020 E    | 50,000,000   | 2020/05/28 | 2020/11/27 | 12.50          |
| 59409    | Credit Suisse AG - HKEX R Bull CBBC Oct 2020 D             | 50,000,000   | 2020/05/28 | 2020/10/29 | 12.50          |
| 59397    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 Y              | 200,000,000  | 2020/05/28 | 2022/10/28 | 50.00          |
| 59051    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 N              | 200,000,000  | 2020/05/28 | 2022/11/29 | 50.00          |
| 59366    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 P              | 200,000,000  | 2020/05/28 | 2023/02/27 | 50.00          |
| 59634    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 U              | 200,000,000  | 2020/05/28 | 2020/10/29 | 50.00          |
| 59668    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 S              | 200,000,000  | 2020/05/28 | 2020/11/27 | 50.00          |
| 59674    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 U              | 200,000,000  | 2020/05/28 | 2020/11/27 | 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 59332    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 F               | 100,000,000  | 2020/05/28 | 2021/01/22 | 25.00          |
| 59534    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 G               | 100,000,000  | 2020/05/28 | 2021/01/21 | 25.00          |
| 59426    | Credit Suisse AG - Tencent R Bull CBBC Sep 2020 Q            | 50,000,000   | 2020/05/28 | 2020/09/29 | 12.50          |
| 50064    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 Z     | 60,000,000   | 2020/05/28 | 2020/10/30 | 15.00          |
| 50065    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Jun 2021 D        | 80,000,000   | 2020/05/28 | 2021/06/01 | 20.00          |
| 50067    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 S         | 160,000,000  | 2020/05/28 | 2022/10/28 | 40.00          |
| 50066    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Nov 2022 S         | 160,000,000  | 2020/05/28 | 2022/11/29 | 40.00          |
| 50061    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 E         | 160,000,000  | 2020/05/28 | 2023/05/30 | 40.00          |
| 50059    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 S         | 160,000,000  | 2020/05/28 | 2023/05/30 | 40.00          |
| 50068    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 B         | 160,000,000  | 2020/05/28 | 2020/08/28 | 40.00          |
| 50073    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 E         | 160,000,000  | 2020/05/28 | 2020/08/28 | 40.00          |
| 50072    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Aug 2020 X         | 160,000,000  | 2020/05/28 | 2020/08/28 | 40.00          |
| 50060    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 V         | 160,000,000  | 2020/05/28 | 2021/02/25 | 40.00          |
| 50063    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 O     | 60,000,000   | 2020/05/28 | 2020/10/30 | 15.00          |
| 50062    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Mar 2021 L     | 60,000,000   | 2020/05/28 | 2021/03/01 | 15.00          |
| 58785    | HK Bank - AIA R Bull CBBC Nov 2020 F                         | 40,000,000   | 2020/05/28 | 2020/11/09 | 10.00          |
| 58710    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 G               | 40,000,000   | 2020/05/28 | 2020/11/05 | 10.00          |
| 58769    | HK Bank - Alibaba Group R Bear CBBC Nov 2020 A               | 100,000,000  | 2020/05/28 | 2020/11/05 | 25.00          |
| 58703    | HK Bank - HKEX R Bull CBBC Nov 2020 F                        | 40,000,000   | 2020/05/28 | 2020/11/12 | 10.00          |
| 58708    | HK Bank - HKEX R Bear CBBC Nov 2020 C                        | 100,000,000  | 2020/05/28 | 2020/11/23 | 25.00          |
| 58745    | HK Bank - HSI R Bull CBBC Sep 2022 D                         | 80,000,000   | 2020/05/28 | 2022/09/29 | 20.00          |
| 58701    | HK Bank - HSI R Bear CBBC Sep 2020 I                         | 100,000,000  | 2020/05/28 | 2020/09/29 | 25.00          |
| 58702    | HK Bank - Meituan Dianping R Bull CBBC Oct 2020 F            | 40,000,000   | 2020/05/28 | 2020/10/19 | 10.00          |
| 58695    | HK Bank - Tencent R Bull CBBC Oct 2020 K                     | 40,000,000   | 2020/05/28 | 2020/10/12 | 10.00          |
| 58776    | HK Bank - Xiaomi R Bull CBBC Oct 2020 B                      | 40,000,000   | 2020/05/28 | 2020/10/12 | 10.00          |
| 50040    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Dec 2020 F     | 70,000,000   | 2020/05/28 | 2020/12/10 | 17.50          |
| 50052    | Haitong Int'l Sec - Alibaba Group R Bear CBBC Jan 2021 A     | 70,000,000   | 2020/05/28 | 2021/01/28 | 27.16          |
| 50034    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 Z               | 150,000,000  | 2020/05/28 | 2022/11/29 | 37.50          |
| 50036    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 M               | 150,000,000  | 2020/05/28 | 2023/03/30 | 37.50          |
| 50058    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 F               | 150,000,000  | 2020/05/28 | 2020/11/27 | 37.50          |
| 50039    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Dec 2020 E  | 70,000,000   | 2020/05/28 | 2020/12/17 | 17.50          |
| 50054    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Feb 2022 A  | 70,000,000   | 2020/05/28 | 2022/02/25 | 17.78          |
| 50037    | Haitong Int'l Sec - Tencent R Bull CBBC Dec 2020 E           | 70,000,000   | 2020/05/28 | 2020/12/17 | 17.50          |
| 50038    | Haitong Int'l Sec - Tencent R Bull CBBC Dec 2020 F           | 70,000,000   | 2020/05/28 | 2020/12/10 | 17.50          |
| 50055    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 T           | 70,000,000   | 2020/05/28 | 2020/11/27 | 17.50          |
| 50057    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 U           | 70,000,000   | 2020/05/28 | 2020/11/27 | 37.59          |
| 50041    | Haitong Int'l Sec - Tencent R Bear CBBC Feb 2022 A           | 70,000,000   | 2020/05/28 | 2022/02/25 | 45.01          |
| 59021    | J P Morgan SP BV - HKEX R Bull CBBC Dec 2020 A               | 40,000,000   | 2020/05/28 | 2020/12/18 | 10.00          |
| 59003    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Z                | 200,000,000  | 2020/05/28 | 2023/02/27 | 50.00          |
| 58986    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 S                | 200,000,000  | 2020/05/28 | 2023/03/30 | 50.00          |
| 58999    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 T                | 200,000,000  | 2020/05/28 | 2023/03/30 | 50.00          |
| 59046    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 R                | 200,000,000  | 2020/05/28 | 2020/11/27 | 50.00          |
| 58987    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 A                | 200,000,000  | 2020/05/28 | 2020/12/30 | 50.00          |
| 59044    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 N                | 200,000,000  | 2020/05/28 | 2021/01/28 | 50.00          |
| 58795    | Morgan Stanley Asia Products - Meituan R Bear CBBC Nov 2020B | 40,000,000   | 2020/05/28 | 2020/11/02 | 10.00          |

# 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 59985    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 P        | 60,000,000   | 2020/05/28 | 2020/12/31 | 15.00          |
| 50010    | SG Issuer - HKEX R Bull CBBC Sep 2020 I                 | 50,000,000   | 2020/05/28 | 2020/09/30 | 12.50          |
| 50015    | SG Issuer - HKEX R Bull CBBC Oct 2020 P                 | 50,000,000   | 2020/05/28 | 2020/10/30 | 12.50          |
| 50001    | SG Issuer - HKEX R Bear CBBC Jan 2021 D                 | 50,000,000   | 2020/05/28 | 2021/01/28 | 12.50          |
| 50025    | SG Issuer - HSI R Bull CBBC Nov 2022 W                  | 250,000,000  | 2020/05/28 | 2022/11/29 | 62.50          |
| 50008    | SG Issuer - HSI R Bull CBBC Feb 2023 T                  | 500,000,000  | 2020/05/28 | 2023/02/27 | 125.00         |
| 50009    | SG Issuer - HSI R Bull CBBC Apr 2023 G                  | 250,000,000  | 2020/05/28 | 2023/04/27 | 62.50          |
| 50031    | SG Issuer - HSI R Bull CBBC Apr 2023 W                  | 250,000,000  | 2020/05/28 | 2023/04/27 | 62.50          |
| 50026    | SG Issuer - HSI R Bull CBBC May 2023 N                  | 250,000,000  | 2020/05/28 | 2023/05/30 | 62.50          |
| 50027    | SG Issuer - HSI R Bear CBBC Aug 2020 F                  | 250,000,000  | 2020/05/28 | 2020/08/28 | 62.50          |
| 50028    | SG Issuer - HSI R Bear CBBC Aug 2020 G                  | 250,000,000  | 2020/05/28 | 2020/08/28 | 62.50          |
| 50029    | SG Issuer - HSI R Bear CBBC Aug 2020 H                  | 250,000,000  | 2020/05/28 | 2020/08/28 | 62.50          |
| 50030    | SG Issuer - HSI R Bear CBBC Oct 2020 F                  | 250,000,000  | 2020/05/28 | 2020/10/29 | 62.50          |
| 50016    | SG Issuer - Meituan Dianping R Bull CBBC Nov 2020 P     | 100,000,000  | 2020/05/28 | 2020/11/30 | 25.00          |
| 50017    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 A     | 100,000,000  | 2020/05/28 | 2020/12/31 | 25.00          |
| 50019    | SG Issuer - SMIC R Bull CBBC Feb 2021 F                 | 120,000,000  | 2020/05/28 | 2021/02/26 | 30.00          |
| 50006    | SG Issuer - Tencent R Bull CBBC Aug 2020 V              | 80,000,000   | 2020/05/28 | 2020/08/31 | 20.00          |
| 50022    | SG Issuer - Tencent R Bull CBBC Nov 2020 O              | 80,000,000   | 2020/05/28 | 2020/11/30 | 20.00          |
| 50023    | SG Issuer - Tencent R Bull CBBC Dec 2020 T              | 80,000,000   | 2020/05/28 | 2020/12/31 | 20.00          |
| 50024    | SG Issuer - Xiaomi R Bull CBBC Nov 2020 H               | 60,000,000   | 2020/05/28 | 2020/11/30 | 15.00          |
| 50007    | SG Issuer - Xiaomi R Bear CBBC Jan 2021 A               | 60,000,000   | 2020/05/28 | 2021/01/28 | 15.00          |
| 58947    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 F           | 80,000,000   | 2020/05/28 | 2021/02/24 | 20.00          |
| 58901    | UBS AG - HKEX R Bull CBBC Jan 2021 E                    | 50,000,000   | 2020/05/28 | 2021/01/05 | 12.50          |
| 58904    | UBS AG - HKEX R Bull CBBC Jan 2021 F                    | 200,000,000  | 2020/05/28 | 2021/01/28 | 50.00          |
| 58809    | UBS AG - HKEX R Bear CBBC Jan 2021 E                    | 200,000,000  | 2020/05/28 | 2021/01/28 | 50.00          |
| 58823    | UBS AG - HKEX R Bear CBBC Jan 2021 F                    | 50,000,000   | 2020/05/28 | 2021/01/05 | 12.50          |
| 58835    | UBS AG - HSI R Bull CBBC Oct 2022 Q                     | 200,000,000  | 2020/05/28 | 2022/10/28 | 50.00          |
| 58867    | UBS AG - HSI R Bull CBBC Jan 2023 I                     | 200,000,000  | 2020/05/28 | 2023/01/30 | 50.00          |
| 58868    | UBS AG - HSI R Bull CBBC Jan 2023 Q                     | 200,000,000  | 2020/05/28 | 2023/01/30 | 50.00          |
| 58848    | UBS AG - HSI R Bull CBBC Jan 2023 X                     | 200,000,000  | 2020/05/28 | 2023/01/30 | 50.00          |
| 58838    | UBS AG - HSI R Bear CBBC Sep 2020 X                     | 200,000,000  | 2020/05/28 | 2020/09/29 | 50.00          |
| 58936    | UBS AG - HSI R Bear CBBC Dec 2020 I                     | 200,000,000  | 2020/05/28 | 2020/12/30 | 50.00          |
| 58938    | UBS AG - HSI R Bear CBBC Dec 2020 J                     | 200,000,000  | 2020/05/28 | 2020/12/30 | 50.00          |
| 58939    | UBS AG - HSI R Bear CBBC Dec 2020 K                     | 300,000,000  | 2020/05/28 | 2020/12/30 | 75.00          |
| 58877    | UBS AG - Meituan Dianping R Bull CBBC Jan 2021 E        | 50,000,000   | 2020/05/28 | 2021/01/05 | 12.50          |
| 58796    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 Y        | 50,000,000   | 2020/05/28 | 2020/12/31 | 15.00          |
| 58834    | UBS AG - Tencent R Bull CBBC Mar 2021 F                 | 40,000,000   | 2020/05/28 | 2021/03/08 | 10.00          |
| 58941    | UBS AG - Tencent R Bear CBBC Feb 2021 E                 | 40,000,000   | 2020/05/28 | 2021/02/23 | 10.00          |
| 58946    | UBS AG - Tencent R Bear CBBC Feb 2021 F                 | 40,000,000   | 2020/05/28 | 2021/02/24 | 10.00          |
| 58879    | UBS AG - Xiaomi R Bull CBBC Jan 2021 D                  | 50,000,000   | 2020/05/28 | 2021/01/05 | 12.50          |
| 58798    | UBS AG - Xiaomi R Bear CBBC Jan 2021 B                  | 50,000,000   | 2020/05/28 | 2021/01/04 | 21.00          |
| 58797    | UBS AG - Xiaomi R Bear CBBC Feb 2021 D                  | 50,000,000   | 2020/05/28 | 2021/02/08 | 12.50          |
| 59911    | Bank Vontobel - CNOOC R Bear CBBC Dec 2020 J            | 40,000,000   | 2020/05/28 | 2020/12/18 | 10.00          |
| 59910    | Bank Vontobel - CNOOC R Bear CBBC Jan 2021 B            | 40,000,000   | 2020/05/28 | 2021/01/08 | 10.00          |
| 59878    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 D | 60,000,000   | 2020/05/28 | 2021/02/05 | 15.00          |

# 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 59960    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 B | 60,000,000   | 2020/05/28 | 2021/01/15 | 15.00          |
| 59772    | Bank Vontobel - Tencent R Bull CBBC Feb 2021 D          | 40,000,000   | 2020/05/28 | 2021/02/05 | 10.00          |
| 59969    | Bank Vontobel - Tencent R Bear CBBC Jan 2021 D          | 40,000,000   | 2020/05/28 | 2021/01/08 | 10.00          |
| 59905    | Bank Vontobel - Xiaomi R Bull CBBC Mar 2021 A           | 40,000,000   | 2020/05/28 | 2021/03/05 | 10.00          |
| 50386    | BOCI Asia Ltd. - AIA R Bull CBBC Dec 2020 A             | 60,000,000   | 2020/05/29 | 2020/12/30 | 15.00          |
| 50371    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 N   | 60,000,000   | 2020/05/29 | 2020/12/30 | 15.00          |
| 50373    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 G   | 60,000,000   | 2020/05/29 | 2020/12/30 | 15.00          |
| 50369    | BOCI Asia Ltd. - China Tower R Bull CBBC Feb 2021 A     | 40,000,000   | 2020/05/29 | 2021/02/26 | 10.00          |
| 50382    | BOCI Asia Ltd. - Galaxy Ent R Bear CBBC Dec 2020 A      | 100,000,000  | 2020/05/29 | 2020/12/30 | 25.00          |
| 50381    | BOCI Asia Ltd. - HKEX R Bear CBBC Dec 2020 A            | 40,000,000   | 2020/05/29 | 2020/12/30 | 10.00          |
| 50368    | BOCI Asia Ltd. - HSBC R Bull CBBC Dec 2020 B            | 40,000,000   | 2020/05/29 | 2020/12/30 | 10.00          |
| 50075    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 S             | 150,000,000  | 2020/05/29 | 2023/01/30 | 37.50          |
| 50076    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 T             | 150,000,000  | 2020/05/29 | 2023/01/30 | 37.50          |
| 50077    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 U             | 150,000,000  | 2020/05/29 | 2023/01/30 | 37.50          |
| 50078    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 V             | 150,000,000  | 2020/05/29 | 2023/01/30 | 37.50          |
| 50392    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 W             | 150,000,000  | 2020/05/29 | 2023/01/30 | 37.50          |
| 50394    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 B             | 150,000,000  | 2020/05/29 | 2020/10/29 | 37.50          |
| 50395    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 D             | 150,000,000  | 2020/05/29 | 2020/10/29 | 37.50          |
| 50398    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 E             | 150,000,000  | 2020/05/29 | 2020/10/29 | 37.50          |
| 50370    | BOCI Asia Ltd. - Link REIT R Bull CBBC Dec 2020 B       | 40,000,000   | 2020/05/29 | 2020/12/30 | 10.00          |
| 50385    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 C         | 40,000,000   | 2020/05/29 | 2020/12/30 | 10.00          |
| 50108    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 A  | 150,000,000  | 2020/05/29 | 2022/10/28 | 37.50          |
| 50109    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 B  | 150,000,000  | 2020/05/29 | 2022/10/28 | 37.50          |
| 50110    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 C  | 140,000,000  | 2020/05/29 | 2022/10/28 | 35.00          |
| 50111    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 D  | 140,000,000  | 2020/05/29 | 2022/10/28 | 35.00          |
| 50124    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 E  | 150,000,000  | 2020/05/29 | 2022/10/28 | 37.50          |
| 50101    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 T  | 150,000,000  | 2020/05/29 | 2022/10/28 | 37.50          |
| 50102    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 W  | 150,000,000  | 2020/05/29 | 2022/10/28 | 37.50          |
| 50105    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 X  | 150,000,000  | 2020/05/29 | 2022/10/28 | 37.50          |
| 50106    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 Y  | 150,000,000  | 2020/05/29 | 2022/10/28 | 37.50          |
| 50122    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 Z  | 150,000,000  | 2020/05/29 | 2022/10/28 | 37.50          |
| 50125    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 A  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50126    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 B  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50128    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 C  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50130    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 D  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50131    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 E  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50133    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 F  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50134    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 G  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50139    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 H  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50140    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 I  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50145    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 J  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50147    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 K  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50282    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 L  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50284    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 M  | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50285    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 N  | 240,000,000  | 2020/05/29 | 2021/01/28 | 60.00          |

# 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 50112    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 T  | 50,000,000   | 2020/05/29 | 2020/11/27 | 12.50          |
| 50115    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 K  | 50,000,000   | 2020/05/29 | 2020/12/30 | 12.50          |
| 50120    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 M  | 50,000,000   | 2020/05/29 | 2020/11/27 | 12.50          |
| 50116    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 E  | 50,000,000   | 2020/05/29 | 2020/12/30 | 12.50          |
| 50121    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 V  | 50,000,000   | 2020/05/29 | 2020/12/30 | 12.50          |
| 50319    | Credit Suisse AG - AIA R Bear CBBC Sep 2020 B               | 70,000,000   | 2020/05/29 | 2020/09/29 | 17.50          |
| 50305    | Credit Suisse AG - Alibaba Group R Bull CBBC Oct 2020 J     | 50,000,000   | 2020/05/29 | 2020/10/29 | 12.50          |
| 50308    | Credit Suisse AG - Galaxy Ent R Bear CBBC Nov 2020 D        | 80,000,000   | 2020/05/29 | 2020/11/27 | 20.00          |
| 50307    | Credit Suisse AG - HSBC R Bear CBBC Dec 2020 B              | 70,000,000   | 2020/05/29 | 2020/12/30 | 17.50          |
| 50286    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 R               | 200,000,000  | 2020/05/29 | 2023/01/30 | 50.00          |
| 50293    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 S               | 200,000,000  | 2020/05/29 | 2023/01/30 | 50.00          |
| 50294    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 T               | 200,000,000  | 2020/05/29 | 2023/01/30 | 50.00          |
| 50301    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 U               | 200,000,000  | 2020/05/29 | 2023/01/30 | 50.00          |
| 50320    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 V               | 200,000,000  | 2020/05/29 | 2023/01/30 | 50.00          |
| 50321    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 W               | 200,000,000  | 2020/05/29 | 2023/01/30 | 50.00          |
| 50326    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 X               | 200,000,000  | 2020/05/29 | 2023/01/30 | 50.00          |
| 50289    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 Q               | 200,000,000  | 2020/05/29 | 2023/02/27 | 50.00          |
| 50290    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 S               | 200,000,000  | 2020/05/29 | 2023/02/27 | 50.00          |
| 50329    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 T               | 200,000,000  | 2020/05/29 | 2023/02/27 | 50.00          |
| 50332    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 V               | 200,000,000  | 2020/05/29 | 2020/10/29 | 50.00          |
| 50335    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 W               | 200,000,000  | 2020/05/29 | 2020/10/29 | 50.00          |
| 50337    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Z               | 200,000,000  | 2020/05/29 | 2020/10/29 | 50.00          |
| 50342    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 M               | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50334    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 V               | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50336    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 W               | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50333    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 X               | 300,000,000  | 2020/05/29 | 2020/12/30 | 75.00          |
| 50317    | Credit Suisse AG - Link REIT R Bull CBBC Dec 2020 G         | 50,000,000   | 2020/05/29 | 2020/12/30 | 12.50          |
| 50318    | Credit Suisse AG - Link REIT R Bear CBBC Oct 2020 A         | 50,000,000   | 2020/05/29 | 2020/10/29 | 12.50          |
| 50331    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 H              | 100,000,000  | 2020/05/29 | 2021/01/28 | 25.00          |
| 50306    | Credit Suisse AG - SMIC R Bull CBBC Feb 2021 A              | 100,000,000  | 2020/05/29 | 2021/02/05 | 25.00          |
| 50303    | Credit Suisse AG - Tencent R Bull CBBC Sep 2020 R           | 50,000,000   | 2020/05/29 | 2020/09/29 | 12.50          |
| 50309    | Credit Suisse AG - Tencent R Bear CBBC Sep 2020 I           | 50,000,000   | 2020/05/29 | 2020/09/29 | 12.50          |
| 50585    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Nov 2020 B    | 60,000,000   | 2020/05/29 | 2020/11/02 | 15.00          |
| 50587    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Mar 2021 G    | 60,000,000   | 2020/05/29 | 2021/03/30 | 15.00          |
| 50586    | Goldman Sachs SP (Asia) - China Life R Bull CBBC Jun 2021 B | 80,000,000   | 2020/05/29 | 2021/06/01 | 20.00          |
| 50588    | Goldman Sachs SP (Asia) - HSBC R Bull CBBC Mar 2021 B       | 60,000,000   | 2020/05/29 | 2021/03/30 | 15.00          |
| 50560    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 T        | 160,000,000  | 2020/05/29 | 2022/10/28 | 40.00          |
| 50572    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 U        | 160,000,000  | 2020/05/29 | 2022/10/28 | 40.00          |
| 50579    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 W        | 160,000,000  | 2020/05/29 | 2022/10/28 | 40.00          |
| 50580    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 X        | 160,000,000  | 2020/05/29 | 2022/10/28 | 40.00          |
| 50573    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2022 Y        | 160,000,000  | 2020/05/29 | 2022/10/28 | 40.00          |
| 50532    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 G        | 160,000,000  | 2020/05/29 | 2023/02/27 | 40.00          |
| 50535    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 H        | 160,000,000  | 2020/05/29 | 2023/02/27 | 40.00          |
| 50561    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 I        | 160,000,000  | 2020/05/29 | 2023/02/27 | 40.00          |
| 50562    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 L        | 160,000,000  | 2020/05/29 | 2023/02/27 | 40.00          |

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| 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 50530    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 U     | 160,000,000  | 2020/05/29 | 2023/02/27 | 40.00          |
| 50531    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Feb 2023 Z     | 160,000,000  | 2020/05/29 | 2023/02/27 | 40.00          |
| 50544    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 R     | 160,000,000  | 2020/05/29 | 2023/05/30 | 40.16          |
| 50545    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 V     | 160,000,000  | 2020/05/29 | 2023/05/30 | 40.00          |
| 50551    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 W     | 160,000,000  | 2020/05/29 | 2023/05/30 | 40.00          |
| 50563    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 A     | 160,000,000  | 2020/05/29 | 2021/02/25 | 45.12          |
| 50566    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 I     | 160,000,000  | 2020/05/29 | 2021/02/25 | 40.00          |
| 50567    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 N     | 160,000,000  | 2020/05/29 | 2021/02/25 | 40.00          |
| 50568    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 O     | 160,000,000  | 2020/05/29 | 2021/02/25 | 40.00          |
| 50569    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 P     | 160,000,000  | 2020/05/29 | 2021/02/25 | 40.00          |
| 50570    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 W     | 160,000,000  | 2020/05/29 | 2021/02/25 | 40.00          |
| 50571    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 X     | 160,000,000  | 2020/05/29 | 2021/02/25 | 40.00          |
| 50559    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 Z     | 160,000,000  | 2020/05/29 | 2021/02/25 | 40.00          |
| 50583    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 W | 60,000,000   | 2020/05/29 | 2020/10/30 | 15.00          |
| 50554    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Nov 2020 C | 60,000,000   | 2020/05/29 | 2020/11/27 | 15.00          |
| 50555    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Nov 2020 D | 60,000,000   | 2020/05/29 | 2020/11/27 | 15.00          |
| 50582    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Mar 2021 M | 60,000,000   | 2020/05/29 | 2021/03/01 | 15.00          |
| 50157    | HK Bank - Alibaba Group R Bear CBBC Oct 2020 D           | 40,000,000   | 2020/05/29 | 2020/10/12 | 10.00          |
| 50168    | HK Bank - China Mobile R Bear CBBC Nov 2020 A            | 40,000,000   | 2020/05/29 | 2020/11/02 | 10.00          |
| 50173    | HK Bank - Galaxy Ent R Bear CBBC Nov 2020 B              | 40,000,000   | 2020/05/29 | 2020/11/09 | 10.00          |
| 50082    | HK Bank - HKEX R Bull CBBC Nov 2020 G                    | 40,000,000   | 2020/05/29 | 2020/11/19 | 10.00          |
| 50160    | HK Bank - HKEX R Bear CBBC Oct 2020 D                    | 40,000,000   | 2020/05/29 | 2020/10/19 | 10.00          |
| 50094    | HK Bank - HSI R Bull CBBC Sep 2022 O                     | 60,000,000   | 2020/05/29 | 2022/09/29 | 15.00          |
| 50081    | HK Bank - HSI R Bull CBBC Sep 2022 S                     | 100,000,000  | 2020/05/29 | 2022/09/29 | 25.00          |
| 50093    | HK Bank - HSI R Bull CBBC Dec 2022 H                     | 100,000,000  | 2020/05/29 | 2022/12/29 | 25.00          |
| 50095    | HK Bank - HSI R Bull CBBC Dec 2022 N                     | 60,000,000   | 2020/05/29 | 2022/12/29 | 15.00          |
| 50096    | HK Bank - HSI R Bull CBBC Dec 2022 P                     | 80,000,000   | 2020/05/29 | 2022/12/29 | 20.00          |
| 50097    | HK Bank - HSI R Bull CBBC Dec 2022 U                     | 60,000,000   | 2020/05/29 | 2022/12/29 | 15.00          |
| 50099    | HK Bank - HSI R Bear CBBC Sep 2020 J                     | 60,000,000   | 2020/05/29 | 2020/09/29 | 15.00          |
| 50100    | HK Bank - HSI R Bear CBBC Sep 2020 K                     | 100,000,000  | 2020/05/29 | 2020/09/29 | 25.00          |
| 50171    | HK Bank - Link REIT R Bull CBBC Nov 2020 A               | 40,000,000   | 2020/05/29 | 2020/11/02 | 10.00          |
| 50083    | HK Bank - Tencent R Bull CBBC Nov 2020 F                 | 40,000,000   | 2020/05/29 | 2020/11/05 | 10.00          |
| 50163    | HK Bank - Tencent R Bull CBBC Nov 2020 G                 | 40,000,000   | 2020/05/29 | 2020/11/09 | 10.00          |
| 50162    | HK Bank - Tencent R Bear CBBC Oct 2020 G                 | 40,000,000   | 2020/05/29 | 2020/10/19 | 10.00          |
| 50158    | HK Bank - Xiaomi R Bull CBBC Nov 2020 D                  | 60,000,000   | 2020/05/29 | 2020/11/16 | 15.00          |
| 50265    | J P Morgan SP BV - HSCEI R Bear CBBC Dec 2020 C          | 200,000,000  | 2020/05/29 | 2020/12/30 | 50.00          |
| 50273    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 L            | 200,000,000  | 2020/05/29 | 2023/01/30 | 50.00          |
| 50247    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 A            | 200,000,000  | 2020/05/29 | 2023/02/27 | 50.00          |
| 50253    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 F            | 200,000,000  | 2020/05/29 | 2023/02/27 | 50.00          |
| 50257    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 I            | 200,000,000  | 2020/05/29 | 2023/02/27 | 50.00          |
| 50249    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 V            | 200,000,000  | 2020/05/29 | 2023/03/30 | 50.00          |
| 50251    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 O            | 200,000,000  | 2020/05/29 | 2023/04/27 | 50.00          |
| 50264    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 P            | 200,000,000  | 2020/05/29 | 2023/04/27 | 50.00          |
| 50252    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 D            | 200,000,000  | 2020/05/29 | 2023/09/28 | 50.00          |
| 50254    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 E            | 200,000,000  | 2020/05/29 | 2023/09/28 | 50.00          |



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|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 50263    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 F                | 200,000,000  | 2020/05/29 | 2023/09/28 | 50.00          |
| 50272    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 G                | 200,000,000  | 2020/05/29 | 2023/09/28 | 50.00          |
| 50278    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 A                | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50274    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 S                | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50276    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 X                | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50277    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 B                | 200,000,000  | 2020/05/29 | 2020/12/30 | 50.00          |
| 50275    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 D                | 200,000,000  | 2020/05/29 | 2020/12/30 | 50.00          |
| 50281    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 P                | 200,000,000  | 2020/05/29 | 2020/12/30 | 50.00          |
| 50279    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 O                | 200,000,000  | 2020/05/29 | 2021/01/28 | 50.00          |
| 50266    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Dec 2020 B   | 80,000,000   | 2020/05/29 | 2020/12/18 | 20.00          |
| 50236    | Morgan Stanley Asia Products - AIA R Bull CBBC Jan 2021 A    | 40,000,000   | 2020/05/29 | 2021/01/28 | 10.00          |
| 50235    | Morgan Stanley Asia Products - AIA R Bear CBBC Dec 2020 D    | 40,000,000   | 2020/05/29 | 2020/12/21 | 10.00          |
| 50238    | Morgan Stanley Asia Products - AIA R Bear CBBC Feb 2021 A    | 40,000,000   | 2020/05/29 | 2021/02/19 | 10.00          |
| 50227    | Morgan Stanley Asia Products - Alibaba R Bull CBBC Dec2020 F | 40,000,000   | 2020/05/29 | 2020/12/21 | 10.00          |
| 50224    | Morgan Stanley Asia Products - Alibaba R Bear CBBC Jan2021 C | 40,000,000   | 2020/05/29 | 2021/01/28 | 10.00          |
| 50213    | Morgan Stanley Asia Products - Ch Mobile R Bear CBBC Feb21A  | 40,000,000   | 2020/05/29 | 2021/02/03 | 10.00          |
| 50228    | Morgan Stanley Asia Products - HKEX R Bear CBBC Dec 2020 D   | 40,000,000   | 2020/05/29 | 2020/12/18 | 10.00          |
| 50221    | Morgan Stanley Asia Products - HSBC R Bull CBBC Apr 2021 A   | 40,000,000   | 2020/05/29 | 2021/04/30 | 10.00          |
| 50218    | Morgan Stanley Asia Products - HSBC R Bull CBBC Jun 2021 B   | 40,000,000   | 2020/05/29 | 2021/06/30 | 10.00          |
| 50219    | Morgan Stanley Asia Products - HSBC R Bull CBBC Jun 2021 C   | 40,000,000   | 2020/05/29 | 2021/06/30 | 10.00          |
| 50178    | Morgan Stanley Asia Products - HSI R Bull CBBC Sep 2022 B    | 150,000,000  | 2020/05/29 | 2022/09/29 | 37.50          |
| 50180    | Morgan Stanley Asia Products - HSI R Bull CBBC Dec 2022 L    | 150,000,000  | 2020/05/29 | 2022/12/29 | 37.50          |
| 50179    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 P    | 150,000,000  | 2020/05/29 | 2023/01/30 | 37.50          |
| 50174    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 L    | 150,000,000  | 2020/05/29 | 2023/02/27 | 37.50          |
| 50176    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 M    | 150,000,000  | 2020/05/29 | 2023/02/27 | 37.50          |
| 50210    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 D    | 150,000,000  | 2020/05/29 | 2020/09/29 | 37.50          |
| 50212    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 E    | 150,000,000  | 2020/05/29 | 2020/09/29 | 37.50          |
| 50209    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 T    | 150,000,000  | 2020/05/29 | 2020/10/29 | 37.50          |
| 50211    | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 H    | 150,000,000  | 2020/05/29 | 2020/11/27 | 37.50          |
| 50222    | Morgan Stanley Asia Products - Meituan R Bear CBBC Dec2020 I | 40,000,000   | 2020/05/29 | 2020/12/30 | 10.00          |
| 50239    | Morgan Stanley Asia Products - Tencent R Bear CBBC Dec2020 K | 40,000,000   | 2020/05/29 | 2020/12/30 | 10.00          |
| 50241    | Morgan Stanley Asia Products - Tencent R Bear CBBC Jan2021 H | 40,000,000   | 2020/05/29 | 2021/01/27 | 10.00          |
| 50240    | Morgan Stanley Asia Products - Tencent R Bear CBBC Feb2021 B | 40,000,000   | 2020/05/29 | 2021/02/23 | 10.00          |
| 50430    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 Q             | 60,000,000   | 2020/05/29 | 2020/12/31 | 15.00          |
| 50431    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 R             | 60,000,000   | 2020/05/29 | 2020/12/31 | 15.00          |
| 50509    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 E             | 60,000,000   | 2020/05/29 | 2020/12/30 | 15.00          |
| 50434    | SG Issuer - HKEX R Bull CBBC Dec 2020 H                      | 50,000,000   | 2020/05/29 | 2020/12/31 | 12.50          |
| 50466    | SG Issuer - HSBC R Bull CBBC Apr 2021 G                      | 100,000,000  | 2020/05/29 | 2021/04/29 | 25.00          |
| 50465    | SG Issuer - HSBC R Bear CBBC Jan 2021 A                      | 100,000,000  | 2020/05/29 | 2021/01/28 | 25.00          |
| 50502    | SG Issuer - HSI R Bull CBBC Nov 2022 C                       | 250,000,000  | 2020/05/29 | 2022/11/29 | 62.50          |
| 50482    | SG Issuer - HSI R Bull CBBC Feb 2023 N                       | 500,000,000  | 2020/05/29 | 2023/02/27 | 125.00         |
| 50503    | SG Issuer - HSI R Bull CBBC Feb 2023 O                       | 250,000,000  | 2020/05/29 | 2023/02/27 | 62.50          |
| 50504    | SG Issuer - HSI R Bull CBBC Feb 2023 P                       | 250,000,000  | 2020/05/29 | 2023/02/27 | 62.50          |
| 50506    | SG Issuer - HSI R Bull CBBC Feb 2023 R                       | 250,000,000  | 2020/05/29 | 2023/02/27 | 62.50          |
| 50455    | SG Issuer - HSI R Bull CBBC Mar 2023 H                       | 250,000,000  | 2020/05/29 | 2023/03/30 | 62.50          |

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|----------|-----------------------------------------------------|--------------|------------|------------|----------------|
| 50456    | SG Issuer - HSI R Bull CBBC Apr 2023 E              | 250,000,000  | 2020/05/29 | 2023/04/27 | 62.50          |
| 50457    | SG Issuer - HSI R Bull CBBC Apr 2023 H              | 250,000,000  | 2020/05/29 | 2023/04/27 | 62.50          |
| 50489    | SG Issuer - HSI R Bull CBBC Apr 2023 I              | 250,000,000  | 2020/05/29 | 2023/04/27 | 62.50          |
| 50528    | SG Issuer - HSI R Bull CBBC Apr 2023 J              | 250,000,000  | 2020/05/29 | 2023/04/27 | 62.50          |
| 50460    | SG Issuer - HSI R Bull CBBC May 2023 F              | 250,000,000  | 2020/05/29 | 2023/05/30 | 62.50          |
| 50458    | SG Issuer - HSI R Bull CBBC May 2023 S              | 250,000,000  | 2020/05/29 | 2023/05/30 | 62.50          |
| 50459    | SG Issuer - HSI R Bull CBBC May 2023 T              | 250,000,000  | 2020/05/29 | 2023/05/30 | 62.50          |
| 50463    | SG Issuer - HSI R Bull CBBC May 2023 U              | 250,000,000  | 2020/05/29 | 2023/05/30 | 62.50          |
| 50493    | SG Issuer - HSI R Bear CBBC Nov 2020 I              | 500,000,000  | 2020/05/29 | 2020/11/27 | 125.00         |
| 50494    | SG Issuer - HSI R Bear CBBC Nov 2020 J              | 250,000,000  | 2020/05/29 | 2020/11/27 | 62.50          |
| 50496    | SG Issuer - HSI R Bear CBBC Dec 2020 J              | 250,000,000  | 2020/05/29 | 2020/12/30 | 62.50          |
| 50497    | SG Issuer - HSI R Bear CBBC Dec 2020 K              | 250,000,000  | 2020/05/29 | 2020/12/30 | 62.50          |
| 50495    | SG Issuer - HSI R Bear CBBC Dec 2020 U              | 250,000,000  | 2020/05/29 | 2020/12/30 | 62.50          |
| 50500    | SG Issuer - HSI R Bear CBBC Jan 2021 A              | 250,000,000  | 2020/05/29 | 2021/01/28 | 62.50          |
| 50501    | SG Issuer - HSI R Bear CBBC Feb 2021 Q              | 500,000,000  | 2020/05/29 | 2021/02/25 | 125.00         |
| 50435    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 C | 100,000,000  | 2020/05/29 | 2020/12/31 | 25.00          |
| 50439    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 D | 100,000,000  | 2020/05/29 | 2020/12/31 | 25.00          |
| 50510    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 E | 100,000,000  | 2020/05/29 | 2020/12/30 | 25.00          |
| 50468    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 D | 100,000,000  | 2020/05/29 | 2021/01/28 | 25.00          |
| 50511    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 E | 100,000,000  | 2020/05/29 | 2021/01/28 | 25.00          |
| 50477    | SG Issuer - Ping An R Bull CBBC Jan 2021 H          | 100,000,000  | 2020/05/29 | 2021/01/28 | 25.00          |
| 50478    | SG Issuer - Sands China R Bull CBBC Apr 2021 C      | 100,000,000  | 2020/05/29 | 2021/04/29 | 25.00          |
| 50479    | SG Issuer - Sands China R Bull CBBC Apr 2021 D      | 100,000,000  | 2020/05/29 | 2021/04/29 | 25.00          |
| 50441    | SG Issuer - SMIC R Bull CBBC Feb 2021 G             | 120,000,000  | 2020/05/29 | 2021/02/26 | 30.00          |
| 50516    | SG Issuer - SMIC R Bull CBBC Apr 2021 A             | 120,000,000  | 2020/05/29 | 2021/04/29 | 30.00          |
| 50514    | SG Issuer - SMIC R Bear CBBC Dec 2020 D             | 120,000,000  | 2020/05/29 | 2020/12/30 | 30.00          |
| 50442    | SG Issuer - Tencent R Bull CBBC Dec 2020 U          | 80,000,000   | 2020/05/29 | 2020/12/31 | 20.00          |
| 50448    | SG Issuer - Tencent R Bull CBBC Dec 2020 V          | 80,000,000   | 2020/05/29 | 2020/12/31 | 20.00          |
| 50452    | SG Issuer - Tencent R Bull CBBC Dec 2020 W          | 80,000,000   | 2020/05/29 | 2020/12/31 | 20.00          |
| 50453    | SG Issuer - Tencent R Bull CBBC Dec 2020 X          | 80,000,000   | 2020/05/29 | 2020/12/31 | 20.00          |
| 50524    | SG Issuer - Tencent R Bull CBBC Dec 2020 Y          | 80,000,000   | 2020/05/29 | 2020/12/31 | 20.00          |
| 50520    | SG Issuer - Tencent R Bear CBBC Nov 2020 M          | 80,000,000   | 2020/05/29 | 2020/11/27 | 20.00          |
| 50522    | SG Issuer - Tencent R Bear CBBC Dec 2020 R          | 80,000,000   | 2020/05/29 | 2020/12/30 | 20.00          |
| 50454    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 J           | 60,000,000   | 2020/05/29 | 2020/12/31 | 15.00          |
| 50480    | SG Issuer - Xiaomi R Bear CBBC Nov 2020 D           | 60,000,000   | 2020/05/29 | 2020/11/27 | 15.00          |
| 50427    | UBS AG - AIA R Bear CBBC Jan 2021 A                 | 60,000,000   | 2020/05/29 | 2021/01/08 | 15.00          |
| 50366    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 C       | 80,000,000   | 2020/05/29 | 2020/12/17 | 20.00          |
| 50419    | UBS AG - Alibaba Group R Bear CBBC Jan 2021 E       | 80,000,000   | 2020/05/29 | 2021/01/08 | 20.00          |
| 50363    | UBS AG - HKEX R Bull CBBC Jan 2021 G                | 50,000,000   | 2020/05/29 | 2021/01/04 | 12.50          |
| 50422    | UBS AG - HKEX R Bear CBBC Jan 2021 G                | 50,000,000   | 2020/05/29 | 2021/01/08 | 12.50          |
| 50346    | UBS AG - HSI R Bull CBBC Sep 2022 D                 | 200,000,000  | 2020/05/29 | 2022/09/29 | 50.00          |
| 50347    | UBS AG - HSI R Bull CBBC Sep 2022 E                 | 200,000,000  | 2020/05/29 | 2022/09/29 | 50.00          |
| 50348    | UBS AG - HSI R Bull CBBC Sep 2022 F                 | 200,000,000  | 2020/05/29 | 2022/09/29 | 50.00          |
| 50349    | UBS AG - HSI R Bull CBBC Sep 2022 H                 | 200,000,000  | 2020/05/29 | 2022/09/29 | 50.00          |
| 50350    | UBS AG - HSI R Bull CBBC Sep 2022 I                 | 200,000,000  | 2020/05/29 | 2022/09/29 | 50.00          |

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| 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 50351    | UBS AG - HSI R Bull CBBC Sep 2022 J                     | 200,000,000  | 2020/05/29 | 2022/09/29 | 50.00          |
| 50352    | UBS AG - HSI R Bull CBBC Sep 2022 K                     | 200,000,000  | 2020/05/29 | 2022/09/29 | 50.00          |
| 50353    | UBS AG - HSI R Bull CBBC Sep 2022 L                     | 200,000,000  | 2020/05/29 | 2022/09/29 | 50.00          |
| 50402    | UBS AG - HSI R Bear CBBC Nov 2020 C                     | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50399    | UBS AG - HSI R Bear CBBC Nov 2020 F                     | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50403    | UBS AG - HSI R Bear CBBC Nov 2020 G                     | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50408    | UBS AG - HSI R Bear CBBC Nov 2020 I                     | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50401    | UBS AG - HSI R Bear CBBC Nov 2020 J                     | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50410    | UBS AG - HSI R Bear CBBC Nov 2020 M                     | 200,000,000  | 2020/05/29 | 2020/11/27 | 50.00          |
| 50364    | UBS AG - Meituan Dianping R Bull CBBC Jan 2021 F        | 50,000,000   | 2020/05/29 | 2021/01/11 | 12.50          |
| 50416    | UBS AG - Meituan Dianping R Bear CBBC Jan 2021 D        | 50,000,000   | 2020/05/29 | 2021/01/08 | 12.50          |
| 50362    | UBS AG - Tencent R Bull CBBC Dec 2020 F                 | 40,000,000   | 2020/05/29 | 2020/12/30 | 10.00          |
| 50361    | UBS AG - Tencent R Bull CBBC Jan 2021 K                 | 40,000,000   | 2020/05/29 | 2021/01/11 | 10.00          |
| 50411    | UBS AG - Tencent R Bear CBBC Dec 2020 L                 | 40,000,000   | 2020/05/29 | 2020/12/30 | 10.00          |
| 50414    | UBS AG - Tencent R Bear CBBC Jan 2021 K                 | 200,000,000  | 2020/05/29 | 2021/01/08 | 50.00          |
| 50365    | UBS AG - Xiaomi R Bull CBBC Mar 2021 B                  | 60,000,000   | 2020/05/29 | 2021/03/01 | 15.00          |
| 50420    | UBS AG - Xiaomi R Bear CBBC Jan 2021 C                  | 60,000,000   | 2020/05/29 | 2021/01/08 | 15.00          |
| 50421    | UBS AG - Xiaomi R Bear CBBC Jan 2021 D                  | 60,000,000   | 2020/05/29 | 2021/01/05 | 15.00          |
| 50185    | Bank Vontobel - AIA R Bear CBBC Jan 2021 A              | 40,000,000   | 2020/05/29 | 2021/01/22 | 10.00          |
| 50205    | Bank Vontobel - Alibaba Group R Bull CBBC Feb 2021 B    | 40,000,000   | 2020/05/29 | 2021/02/05 | 10.00          |
| 50189    | Bank Vontobel - CNOOC R Bear CBBC Feb 2021 A            | 40,000,000   | 2020/05/29 | 2021/02/05 | 10.00          |
| 50191    | Bank Vontobel - CSOP A50 ETF R Bear CBBC Dec 2020 B     | 40,000,000   | 2020/05/29 | 2020/12/04 | 10.00          |
| 50195    | Bank Vontobel - HSBC R Bull CBBC Feb 2021 A             | 60,000,000   | 2020/05/29 | 2021/02/19 | 15.00          |
| 50196    | Bank Vontobel - HSBC R Bull CBBC Feb 2021 B             | 60,000,000   | 2020/05/29 | 2021/02/05 | 15.00          |
| 50197    | Bank Vontobel - HSBC R Bear CBBC Jan 2021 A             | 60,000,000   | 2020/05/29 | 2021/01/22 | 15.00          |
| 50182    | Bank Vontobel - HSI R Bull CBBC Dec 2022 K              | 80,000,000   | 2020/05/29 | 2022/12/29 | 20.00          |
| 50184    | Bank Vontobel - HSI R Bull CBBC Dec 2022 L              | 80,000,000   | 2020/05/29 | 2022/12/29 | 20.00          |
| 50193    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 E | 40,000,000   | 2020/05/29 | 2021/02/05 | 10.00          |
| 50198    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 C | 40,000,000   | 2020/05/29 | 2021/01/22 | 10.00          |
| 50207    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 D | 60,000,000   | 2020/05/29 | 2021/01/08 | 15.00          |
| 50194    | Bank Vontobel - SUNAC R Bear CBBC Dec 2020 E            | 40,000,000   | 2020/05/29 | 2020/12/18 | 10.00          |
| 50192    | Bank Vontobel - Sunny Optical R Bear CBBC Feb 2021 B    | 40,000,000   | 2020/05/29 | 2021/02/05 | 10.00          |
| 50203    | Bank Vontobel - Tencent R Bull CBBC Feb 2021 E          | 60,000,000   | 2020/05/29 | 2021/02/05 | 15.00          |
| 50206    | Bank Vontobel - Tencent R Bear CBBC Jan 2021 E          | 40,000,000   | 2020/05/29 | 2021/01/08 | 10.00          |
| 50188    | Bank Vontobel - Xiaomi R Bear CBBC Jan 2021 A           | 40,000,000   | 2020/05/29 | 2021/01/22 | 10.00          |
| 50661    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 O   | 60,000,000   | 2020/06/01 | 2020/12/30 | 15.00          |
| 50643    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 X             | 150,000,000  | 2020/06/01 | 2023/01/30 | 37.50          |
| 50645    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 Y             | 150,000,000  | 2020/06/01 | 2023/01/30 | 37.50          |
| 50663    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 G             | 150,000,000  | 2020/06/01 | 2020/10/29 | 37.50          |
| 50668    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 X             | 150,000,000  | 2020/06/01 | 2020/10/29 | 37.50          |
| 50662    | BOCI Asia Ltd. - ZTE R Bull CBBC Dec 2020 B             | 80,000,000   | 2020/06/01 | 2020/12/31 | 20.00          |
| 50841    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 K  | 190,000,000  | 2020/06/01 | 2022/12/29 | 47.50          |
| 50599    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 L  | 150,000,000  | 2020/06/01 | 2022/12/29 | 37.50          |
| 50589    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 M  | 150,000,000  | 2020/06/01 | 2022/12/29 | 37.50          |
| 50590    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 N  | 150,000,000  | 2020/06/01 | 2022/12/29 | 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 50839    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 O   | 200,000,000  | 2020/06/01 | 2022/12/29 | 50.00          |
| 50834    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 D   | 250,000,000  | 2020/06/01 | 2020/12/30 | 62.50          |
| 50838    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 H   | 250,000,000  | 2020/06/01 | 2020/12/30 | 62.50          |
| 50842    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 L   | 240,000,000  | 2020/06/01 | 2020/12/30 | 60.00          |
| 50923    | Credit Suisse AG - Alibaba Group R Bull CBBC Oct 2020 K  | 50,000,000   | 2020/06/01 | 2020/10/29 | 12.50          |
| 50926    | Credit Suisse AG - HKEX R Bull CBBC Nov 2020 D           | 50,000,000   | 2020/06/01 | 2020/11/27 | 12.50          |
| 50888    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 E            | 200,000,000  | 2020/06/01 | 2022/10/28 | 50.00          |
| 50889    | Credit Suisse AG - HSI R Bull CBBC Oct 2022 S            | 200,000,000  | 2020/06/01 | 2022/10/28 | 50.00          |
| 50921    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 A            | 200,000,000  | 2020/06/01 | 2022/11/29 | 50.00          |
| 50887    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 X            | 200,000,000  | 2020/06/01 | 2022/11/29 | 50.00          |
| 50896    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 Y            | 200,000,000  | 2020/06/01 | 2023/01/30 | 50.00          |
| 50917    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 E            | 200,000,000  | 2020/06/01 | 2020/09/29 | 50.00          |
| 50916    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 A            | 200,000,000  | 2020/06/01 | 2020/10/29 | 50.00          |
| 50919    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 F            | 200,000,000  | 2020/06/01 | 2020/10/29 | 50.00          |
| 50920    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 G            | 200,000,000  | 2020/06/01 | 2020/10/29 | 50.00          |
| 50914    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Y            | 200,000,000  | 2020/06/01 | 2020/10/29 | 50.00          |
| 50918    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 E            | 200,000,000  | 2020/06/01 | 2020/11/27 | 50.00          |
| 50915    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 X            | 200,000,000  | 2020/06/01 | 2020/11/27 | 50.00          |
| 50899    | Credit Suisse AG - Link REIT R Bull CBBC Jan 2021 A      | 50,000,000   | 2020/06/01 | 2021/01/28 | 12.50          |
| 50911    | Credit Suisse AG - Link REIT R Bear CBBC Oct 2020 B      | 50,000,000   | 2020/06/01 | 2020/10/29 | 12.50          |
| 50898    | Credit Suisse AG - Sands China R Bull CBBC Apr 2021 B    | 60,000,000   | 2020/06/01 | 2021/04/29 | 15.00          |
| 50924    | Credit Suisse AG - SMIC R Bull CBBC Mar 2021 B           | 100,000,000  | 2020/06/01 | 2021/03/30 | 25.00          |
| 50925    | Credit Suisse AG - SMIC R Bull CBBC Mar 2021 C           | 100,000,000  | 2020/06/01 | 2021/03/30 | 25.00          |
| 50922    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 Q        | 50,000,000   | 2020/06/01 | 2020/10/29 | 12.50          |
| 50897    | Credit Suisse AG - ZTE R Bull CBBC Dec 2020 B            | 50,000,000   | 2020/06/01 | 2020/12/30 | 12.50          |
| 51010    | Goldman Sachs SP (Asia) - AIA R Bull CBBC Feb 2021 A     | 60,000,000   | 2020/06/01 | 2021/02/25 | 15.00          |
| 51012    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 A | 60,000,000   | 2020/06/01 | 2020/10/30 | 15.00          |
| 50964    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 A     | 160,000,000  | 2020/06/01 | 2023/05/30 | 40.00          |
| 50965    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 B     | 160,000,000  | 2020/06/01 | 2023/05/30 | 40.00          |
| 50966    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 C     | 160,000,000  | 2020/06/01 | 2023/05/30 | 40.00          |
| 50969    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 J     | 160,000,000  | 2020/06/01 | 2023/05/30 | 40.00          |
| 50983    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 K     | 160,000,000  | 2020/06/01 | 2023/05/30 | 40.00          |
| 50987    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 L     | 160,000,000  | 2020/06/01 | 2023/05/30 | 40.00          |
| 50997    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 M     | 160,000,000  | 2020/06/01 | 2023/05/30 | 40.00          |
| 50971    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 A     | 160,000,000  | 2020/06/01 | 2021/04/29 | 40.00          |
| 50972    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 B     | 160,000,000  | 2020/06/01 | 2021/04/29 | 40.00          |
| 50985    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 C     | 160,000,000  | 2020/06/01 | 2021/04/29 | 40.00          |
| 50988    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 D     | 160,000,000  | 2020/06/01 | 2021/04/29 | 40.00          |
| 50991    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 E     | 160,000,000  | 2020/06/01 | 2021/04/29 | 40.00          |
| 50994    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 F     | 160,000,000  | 2020/06/01 | 2021/04/29 | 40.00          |
| 50995    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 G     | 160,000,000  | 2020/06/01 | 2021/04/29 | 40.00          |
| 50996    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 H     | 160,000,000  | 2020/06/01 | 2021/04/29 | 40.00          |
| 50986    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Nov 2022 A     | 160,000,000  | 2020/06/01 | 2022/11/29 | 40.00          |
| 51001    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Feb 2021 E | 60,000,000   | 2020/06/01 | 2021/02/25 | 15.00          |
| 50999    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 X | 60,000,000   | 2020/06/01 | 2020/10/30 | 15.00          |

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|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 51011    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 Y    | 60,000,000   | 2020/06/01 | 2020/10/30 | 15.00          |
| 50998    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Sep 2021 B    | 80,000,000   | 2020/06/01 | 2021/09/28 | 20.00          |
| 50606    | HK Bank - AIA R Bull CBBC Nov 2020 G                        | 40,000,000   | 2020/06/01 | 2020/11/16 | 10.00          |
| 50646    | HK Bank - AIA R Bear CBBC Oct 2020 D                        | 40,000,000   | 2020/06/01 | 2020/10/12 | 10.00          |
| 50607    | HK Bank - Alibaba Group R Bull CBBC Oct 2020 J              | 40,000,000   | 2020/06/01 | 2020/10/12 | 10.00          |
| 50639    | HK Bank - Alibaba Group R Bear CBBC Nov 2020 B              | 40,000,000   | 2020/06/01 | 2020/11/02 | 10.00          |
| 50647    | HK Bank - China Life R Bear CBBC Nov 2020 A                 | 40,000,000   | 2020/06/01 | 2020/11/02 | 10.00          |
| 50651    | HK Bank - China Tower R Bull CBBC Mar 2021 A                | 40,000,000   | 2020/06/01 | 2021/03/08 | 10.00          |
| 50640    | HK Bank - HSCEI R Bear CBBC Oct 2020 A                      | 50,000,000   | 2020/06/01 | 2020/10/29 | 12.50          |
| 50605    | HK Bank - HSI R Bull CBBC Sep 2022 V                        | 60,000,000   | 2020/06/01 | 2022/09/29 | 15.00          |
| 50609    | HK Bank - HSI R Bull CBBC Mar 2023 A                        | 100,000,000  | 2020/06/01 | 2023/03/30 | 25.00          |
| 50611    | HK Bank - HSI R Bull CBBC Mar 2023 B                        | 100,000,000  | 2020/06/01 | 2023/03/30 | 25.00          |
| 50615    | HK Bank - HSI R Bear CBBC Sep 2020 L                        | 60,000,000   | 2020/06/01 | 2020/09/29 | 15.00          |
| 50612    | HK Bank - HSI R Bear CBBC Sep 2020 M                        | 100,000,000  | 2020/06/01 | 2020/09/29 | 25.00          |
| 50648    | HK Bank - ICBC R Bull CBBC Nov 2020 A                       | 40,000,000   | 2020/06/01 | 2020/11/23 | 10.00          |
| 50656    | HK Bank - Link REIT R Bull CBBC Oct 2020 A                  | 40,000,000   | 2020/06/01 | 2020/10/19 | 10.00          |
| 50618    | HK Bank - Meituan Dianping R Bull CBBC Oct 2020 G           | 40,000,000   | 2020/06/01 | 2020/10/12 | 10.00          |
| 50608    | HK Bank - Tencent R Bull CBBC Nov 2020 H                    | 40,000,000   | 2020/06/01 | 2020/11/02 | 10.00          |
| 50617    | HK Bank - Tencent R Bear CBBC Nov 2020 E                    | 40,000,000   | 2020/06/01 | 2020/11/05 | 10.00          |
| 50937    | Haitong Int'l Sec - AIA R Bear CBBC Feb 2021 A              | 80,000,000   | 2020/06/01 | 2021/02/19 | 20.00          |
| 50933    | Haitong Int'l Sec - Alibaba Group R Bear CBBC Jan 2021 B    | 80,000,000   | 2020/06/01 | 2021/01/28 | 20.00          |
| 50953    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 K              | 150,000,000  | 2020/06/01 | 2022/10/28 | 37.50          |
| 50956    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 F              | 200,000,000  | 2020/06/01 | 2023/04/27 | 50.00          |
| 50958    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 G              | 200,000,000  | 2020/06/01 | 2023/04/27 | 50.00          |
| 50941    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 N              | 150,000,000  | 2020/06/01 | 2020/09/29 | 37.50          |
| 50940    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 K              | 150,000,000  | 2020/06/01 | 2020/10/29 | 37.50          |
| 50939    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 G              | 150,000,000  | 2020/06/01 | 2020/11/27 | 37.50          |
| 50942    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 H              | 150,000,000  | 2020/06/01 | 2020/11/27 | 37.50          |
| 50950    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 T              | 300,000,000  | 2020/06/01 | 2021/01/28 | 75.00          |
| 50931    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Jan 2021 A | 80,000,000   | 2020/06/01 | 2021/01/28 | 20.00          |
| 50932    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Jan 2021 A | 80,000,000   | 2020/06/01 | 2021/01/28 | 20.00          |
| 50959    | Haitong Int'l Sec - Tencent R Bull CBBC Jan 2021 B          | 60,000,000   | 2020/06/01 | 2021/01/28 | 15.00          |
| 50928    | Haitong Int'l Sec - Tencent R Bull CBBC Feb 2021 A          | 60,000,000   | 2020/06/01 | 2021/02/19 | 15.00          |
| 50929    | Haitong Int'l Sec - Tencent R Bear CBBC Feb 2021 A          | 60,000,000   | 2020/06/01 | 2021/02/19 | 15.00          |
| 50930    | Haitong Int'l Sec - Tencent R Bear CBBC Feb 2021 B          | 60,000,000   | 2020/06/01 | 2021/02/19 | 15.30          |
| 50792    | J P Morgan SP BV - HKEX R Bull CBBC Nov 2020 A              | 40,000,000   | 2020/06/01 | 2020/11/20 | 10.00          |
| 50789    | J P Morgan SP BV - HKEX R Bull CBBC Dec 2020 B              | 40,000,000   | 2020/06/01 | 2020/12/18 | 10.20          |
| 50748    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 B               | 200,000,000  | 2020/06/01 | 2022/12/29 | 50.00          |
| 50749    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 P               | 200,000,000  | 2020/06/01 | 2023/01/30 | 50.00          |
| 50754    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 J               | 200,000,000  | 2020/06/01 | 2023/02/27 | 50.00          |
| 50765    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 A               | 200,000,000  | 2020/06/01 | 2023/03/30 | 50.00          |
| 50758    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 W               | 200,000,000  | 2020/06/01 | 2023/03/30 | 50.00          |
| 50743    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 Q               | 200,000,000  | 2020/06/01 | 2023/04/27 | 50.00          |
| 50760    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 R               | 200,000,000  | 2020/06/01 | 2023/04/27 | 50.00          |
| 50761    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 H               | 200,000,000  | 2020/06/01 | 2023/09/28 | 50.00          |

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|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 50766    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 I                | 200,000,000  | 2020/06/01 | 2023/09/28 | 50.00          |
| 50768    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 T                | 200,000,000  | 2020/06/01 | 2020/12/30 | 50.00          |
| 50769    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 P                | 200,000,000  | 2020/06/01 | 2021/01/28 | 50.00          |
| 50778    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 Q                | 200,000,000  | 2020/06/01 | 2021/01/28 | 50.00          |
| 50783    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 R                | 200,000,000  | 2020/06/01 | 2021/01/28 | 50.00          |
| 50784    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 S                | 200,000,000  | 2020/06/01 | 2021/01/28 | 50.00          |
| 50788    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Dec 2020 B   | 80,000,000   | 2020/06/01 | 2020/12/18 | 20.00          |
| 50785    | J P Morgan SP BV - Tencent R Bull CBBC Dec 2020 B            | 50,000,000   | 2020/06/01 | 2020/12/18 | 12.50          |
| 50802    | Morgan Stanley Asia Products - AIA R Bull CBBC Feb 2021 A    | 40,000,000   | 2020/06/01 | 2021/02/08 | 10.00          |
| 50803    | Morgan Stanley Asia Products - China Life R Bear CBBC Feb21A | 40,000,000   | 2020/06/01 | 2021/02/01 | 10.00          |
| 50800    | Morgan Stanley Asia Products - HSI R Bull CBBC Nov 2022 M    | 150,000,000  | 2020/06/01 | 2022/11/29 | 37.50          |
| 50796    | Morgan Stanley Asia Products - HSI R Bull CBBC Mar 2023 B    | 150,000,000  | 2020/06/01 | 2023/03/30 | 37.50          |
| 50798    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 U    | 150,000,000  | 2020/06/01 | 2020/10/29 | 37.50          |
| 50797    | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 G    | 150,000,000  | 2020/06/01 | 2020/12/30 | 37.50          |
| 50850    | SG Issuer - AAC Tech R Bull CBBC Dec 2020 L                  | 100,000,000  | 2020/06/01 | 2020/12/30 | 25.00          |
| 50845    | SG Issuer - AIA R Bull CBBC Nov 2020 D                       | 60,000,000   | 2020/06/01 | 2020/11/27 | 15.00          |
| 50851    | SG Issuer - AIA R Bear CBBC Dec 2020 D                       | 60,000,000   | 2020/06/01 | 2020/12/30 | 15.00          |
| 50846    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 L             | 60,000,000   | 2020/06/01 | 2020/11/27 | 15.00          |
| 50847    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 S             | 60,000,000   | 2020/06/01 | 2020/12/30 | 15.00          |
| 50852    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 J             | 60,000,000   | 2020/06/01 | 2021/01/28 | 15.00          |
| 50884    | SG Issuer - HKEX R Bull CBBC Dec 2020 I                      | 50,000,000   | 2020/06/01 | 2020/12/31 | 12.50          |
| 50853    | SG Issuer - HKEX R Bear CBBC Nov 2020 C                      | 50,000,000   | 2020/06/01 | 2020/11/27 | 12.50          |
| 50885    | SG Issuer - HKEX R Bear CBBC Dec 2020 I                      | 50,000,000   | 2020/06/01 | 2020/12/31 | 12.50          |
| 50857    | SG Issuer - HKEX R Bear CBBC Jan 2021 E                      | 50,000,000   | 2020/06/01 | 2021/01/28 | 24.00          |
| 50880    | SG Issuer - HSI R Bull CBBC May 2023 V                       | 250,000,000  | 2020/06/01 | 2023/05/30 | 62.50          |
| 50881    | SG Issuer - HSI R Bull CBBC May 2023 W                       | 250,000,000  | 2020/06/01 | 2023/05/30 | 62.50          |
| 50882    | SG Issuer - HSI R Bull CBBC Jun 2023 A                       | 250,000,000  | 2020/06/01 | 2023/06/29 | 62.50          |
| 50883    | SG Issuer - HSI R Bull CBBC Jun 2023 B                       | 250,000,000  | 2020/06/01 | 2023/06/29 | 62.50          |
| 50871    | SG Issuer - HSI R Bear CBBC Oct 2020 X                       | 250,000,000  | 2020/06/01 | 2020/10/29 | 62.50          |
| 50872    | SG Issuer - HSI R Bear CBBC Nov 2020 N                       | 250,000,000  | 2020/06/01 | 2020/11/27 | 62.50          |
| 50875    | SG Issuer - HSI R Bear CBBC Dec 2020 M                       | 250,000,000  | 2020/06/01 | 2020/12/30 | 62.50          |
| 50877    | SG Issuer - HSI R Bear CBBC Jan 2021 C                       | 250,000,000  | 2020/06/01 | 2021/01/28 | 62.50          |
| 50874    | SG Issuer - HSI R Bear CBBC Jan 2021 D                       | 250,000,000  | 2020/06/01 | 2021/01/28 | 62.50          |
| 50878    | SG Issuer - HSI R Bear CBBC Jan 2021 F                       | 250,000,000  | 2020/06/01 | 2021/01/28 | 62.50          |
| 50879    | SG Issuer - HSI R Bear CBBC Feb 2021 R                       | 250,000,000  | 2020/06/01 | 2021/02/25 | 62.50          |
| 50862    | SG Issuer - Link REIT R Bull CBBC Feb 2021 B                 | 60,000,000   | 2020/06/01 | 2021/02/25 | 15.00          |
| 50848    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 F          | 100,000,000  | 2020/06/01 | 2021/01/28 | 25.00          |
| 50864    | SG Issuer - SUNAC R Bull CBBC Apr 2021 A                     | 80,000,000   | 2020/06/01 | 2021/04/30 | 20.00          |
| 50866    | SG Issuer - Sunny Optical R Bear CBBC Jan 2021 C             | 60,000,000   | 2020/06/01 | 2021/01/28 | 15.00          |
| 50849    | SG Issuer - Tencent R Bull CBBC Nov 2020 P                   | 80,000,000   | 2020/06/01 | 2020/11/27 | 20.00          |
| 50886    | SG Issuer - Tencent R Bull CBBC Dec 2020 Z                   | 80,000,000   | 2020/06/01 | 2020/12/31 | 20.00          |
| 50868    | SG Issuer - Tencent R Bear CBBC Dec 2020 S                   | 80,000,000   | 2020/06/01 | 2020/12/30 | 20.00          |
| 50869    | SG Issuer - Tencent R Bear CBBC Jan 2021 R                   | 80,000,000   | 2020/06/01 | 2021/01/28 | 20.00          |
| 50741    | UBS AG - AIA R Bear CBBC Dec 2020 E                          | 60,000,000   | 2020/06/01 | 2020/12/08 | 15.00          |
| 50682    | UBS AG - Alibaba Group R Bull CBBC Dec 2020 D                | 80,000,000   | 2020/06/01 | 2020/12/18 | 20.00          |



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| 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 50685    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 J            | 400,000,000  | 2020/06/01 | 2021/02/26 | 100.00         |
| 50706    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 L            | 80,000,000   | 2020/06/01 | 2020/12/14 | 20.00          |
| 50725    | UBS AG - HKEX R Bull CBBC Feb 2021 B                     | 200,000,000  | 2020/06/01 | 2021/02/22 | 50.00          |
| 50714    | UBS AG - HKEX R Bear CBBC Dec 2020 H                     | 50,000,000   | 2020/06/01 | 2020/12/14 | 21.00          |
| 50690    | UBS AG - HSBC R Bull CBBC Apr 2021 A                     | 100,000,000  | 2020/06/01 | 2021/04/30 | 25.00          |
| 50735    | UBS AG - HSBC R Bear CBBC Mar 2021 A                     | 100,000,000  | 2020/06/01 | 2021/03/22 | 25.00          |
| 50727    | UBS AG - HSBC R Bear CBBC Apr 2021 A                     | 100,000,000  | 2020/06/01 | 2021/04/30 | 25.00          |
| 50670    | UBS AG - HSI R Bull CBBC Nov 2022 A                      | 200,000,000  | 2020/06/01 | 2022/11/29 | 50.00          |
| 50677    | UBS AG - HSI R Bull CBBC Nov 2022 E                      | 200,000,000  | 2020/06/01 | 2022/11/29 | 50.00          |
| 50710    | UBS AG - HSI R Bull CBBC Nov 2022 H                      | 200,000,000  | 2020/06/01 | 2022/11/29 | 50.00          |
| 50697    | UBS AG - HSI R Bear CBBC Dec 2020 L                      | 200,000,000  | 2020/06/01 | 2020/12/30 | 50.00          |
| 50701    | UBS AG - HSI R Bear CBBC Dec 2020 M                      | 200,000,000  | 2020/06/01 | 2020/12/30 | 50.00          |
| 50703    | UBS AG - HSI R Bear CBBC Dec 2020 P                      | 200,000,000  | 2020/06/01 | 2020/12/30 | 50.00          |
| 50700    | UBS AG - HSI R Bear CBBC Dec 2020 S                      | 200,000,000  | 2020/06/01 | 2020/12/30 | 50.00          |
| 50698    | UBS AG - HSI R Bear CBBC Dec 2020 Y                      | 200,000,000  | 2020/06/01 | 2020/12/30 | 50.00          |
| 50691    | UBS AG - Link REIT R Bull CBBC Dec 2020 G                | 60,000,000   | 2020/06/01 | 2020/12/31 | 15.00          |
| 50737    | UBS AG - Link REIT R Bear CBBC Feb 2021 A                | 50,000,000   | 2020/06/01 | 2021/02/26 | 12.50          |
| 50718    | UBS AG - Meituan Dianping R Bull CBBC Feb 2021 D         | 50,000,000   | 2020/06/01 | 2021/02/22 | 12.50          |
| 50705    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 Z         | 50,000,000   | 2020/06/01 | 2020/12/14 | 12.50          |
| 50736    | UBS AG - Ping An R Bear CBBC Feb 2021 A                  | 100,000,000  | 2020/06/01 | 2021/02/26 | 25.00          |
| 50738    | UBS AG - SMIC R Bull CBBC Apr 2021 B                     | 100,000,000  | 2020/06/01 | 2021/04/30 | 25.00          |
| 50717    | UBS AG - Tencent R Bull CBBC Nov 2020 A                  | 40,000,000   | 2020/06/01 | 2020/11/25 | 10.00          |
| 50716    | UBS AG - Tencent R Bull CBBC Nov 2020 Z                  | 40,000,000   | 2020/06/01 | 2020/11/23 | 10.00          |
| 50704    | UBS AG - Tencent R Bear CBBC Dec 2020 M                  | 40,000,000   | 2020/06/01 | 2020/12/14 | 10.00          |
| 50722    | UBS AG - Xiaomi R Bull CBBC Feb 2021 C                   | 60,000,000   | 2020/06/01 | 2021/02/22 | 15.00          |
| 50813    | Bank Vontobel - AIA R Bull CBBC Feb 2021 B               | 40,000,000   | 2020/06/01 | 2021/02/19 | 10.00          |
| 50806    | Bank Vontobel - Alibaba Group R Bull CBBC Feb 2021 C     | 40,000,000   | 2020/06/01 | 2021/02/19 | 10.00          |
| 50812    | Bank Vontobel - HSBC R Bull CBBC Mar 2021 A              | 40,000,000   | 2020/06/01 | 2021/03/26 | 10.00          |
| 50824    | Bank Vontobel - HSI R Bear CBBC Dec 2020 N               | 80,000,000   | 2020/06/01 | 2020/12/30 | 20.00          |
| 50825    | Bank Vontobel - HSI R Bear CBBC Dec 2020 O               | 80,000,000   | 2020/06/01 | 2020/12/30 | 20.00          |
| 50827    | Bank Vontobel - HSI R Bear CBBC Dec 2020 P               | 80,000,000   | 2020/06/01 | 2020/12/30 | 20.00          |
| 50831    | Bank Vontobel - Meituan Dianping R Bull CBBC Mar 2021 B  | 60,000,000   | 2020/06/01 | 2021/03/05 | 15.00          |
| 50804    | Bank Vontobel - Xiaomi R Bull CBBC Jan 2021 D            | 40,000,000   | 2020/06/01 | 2021/01/22 | 10.00          |
| 51073    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 P    | 60,000,000   | 2020/06/02 | 2020/12/30 | 15.00          |
| 51048    | BOCI Asia Ltd. - HKEX R Bull CBBC Dec 2020 A             | 40,000,000   | 2020/06/02 | 2020/12/30 | 10.00          |
| 51050    | BOCI Asia Ltd. - HKEX R Bear CBBC Dec 2020 B             | 40,000,000   | 2020/06/02 | 2020/12/30 | 10.00          |
| 51065    | BOCI Asia Ltd. - HKEX R Bear CBBC Dec 2020 C             | 40,000,000   | 2020/06/02 | 2020/12/30 | 11.20          |
| 51045    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 A              | 150,000,000  | 2020/06/02 | 2023/01/30 | 37.50          |
| 51044    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 Z              | 150,000,000  | 2020/06/02 | 2023/01/30 | 37.50          |
| 51047    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 K              | 150,000,000  | 2020/06/02 | 2020/10/29 | 37.50          |
| 51046    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 Z              | 150,000,000  | 2020/06/02 | 2020/10/29 | 37.50          |
| 51070    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 L | 40,000,000   | 2020/06/02 | 2020/12/30 | 10.00          |
| 51071    | BOCI Asia Ltd. - Sunny Optical R Bull CBBC Dec 2020 C    | 40,000,000   | 2020/06/02 | 2020/12/30 | 10.00          |
| 51067    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 I          | 40,000,000   | 2020/06/02 | 2020/12/30 | 10.00          |
| 51069    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 J          | 40,000,000   | 2020/06/02 | 2020/12/30 | 10.00          |

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| 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 51072    | BOCI Asia Ltd. - Xiaomi R Bull CBBC Dec 2020 E             | 40,000,000   | 2020/06/02 | 2020/12/31 | 10.00          |
| 51090    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 B | 100,000,000  | 2020/06/02 | 2020/12/30 | 25.00          |
| 51083    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2020 F    | 50,000,000   | 2020/06/02 | 2020/09/29 | 12.50          |
| 51084    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2020 X    | 50,000,000   | 2020/06/02 | 2020/09/29 | 12.50          |
| 51081    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 C     | 200,000,000  | 2020/06/02 | 2022/12/29 | 50.00          |
| 51091    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 D     | 190,000,000  | 2020/06/02 | 2022/12/29 | 47.50          |
| 51077    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 P     | 200,000,000  | 2020/06/02 | 2022/12/29 | 50.00          |
| 51078    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 Q     | 200,000,000  | 2020/06/02 | 2022/12/29 | 50.00          |
| 51079    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 V     | 200,000,000  | 2020/06/02 | 2022/12/29 | 50.00          |
| 51092    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 O     | 240,000,000  | 2020/06/02 | 2020/12/30 | 60.00          |
| 51088    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 D | 50,000,000   | 2020/06/02 | 2020/12/30 | 12.50          |
| 51089    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 E | 50,000,000   | 2020/06/02 | 2020/12/30 | 12.50          |
| 51085    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 F | 50,000,000   | 2020/06/02 | 2020/12/30 | 12.50          |
| 51087    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 I | 50,000,000   | 2020/06/02 | 2020/12/30 | 12.50          |
| 51082    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 L | 50,000,000   | 2020/06/02 | 2020/12/30 | 12.50          |
| 51270    | Credit Suisse AG - AIA R Bull CBBC Oct 2020 G              | 70,000,000   | 2020/06/02 | 2020/10/29 | 17.50          |
| 51277    | Credit Suisse AG - Alibaba Group R Bull CBBC Nov 2020 F    | 50,000,000   | 2020/06/02 | 2020/11/27 | 12.50          |
| 51266    | Credit Suisse AG - Galaxy Ent R Bull CBBC Dec 2020 A       | 80,000,000   | 2020/06/02 | 2020/12/30 | 20.00          |
| 51264    | Credit Suisse AG - HSBC R Bull CBBC Jan 2021 A             | 70,000,000   | 2020/06/02 | 2021/01/28 | 17.50          |
| 51284    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 U              | 200,000,000  | 2020/06/02 | 2023/02/27 | 50.00          |
| 51286    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 V              | 200,000,000  | 2020/06/02 | 2023/02/27 | 50.00          |
| 51294    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 W              | 200,000,000  | 2020/06/02 | 2023/02/27 | 50.00          |
| 51295    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 X              | 200,000,000  | 2020/06/02 | 2023/02/27 | 50.00          |
| 51296    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 Y              | 200,000,000  | 2020/06/02 | 2023/02/27 | 50.00          |
| 51257    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 H              | 200,000,000  | 2020/06/02 | 2020/10/29 | 50.00          |
| 51260    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 I              | 200,000,000  | 2020/06/02 | 2020/10/29 | 50.00          |
| 51263    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 R              | 200,000,000  | 2020/06/02 | 2020/10/29 | 50.00          |
| 51261    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 F              | 200,000,000  | 2020/06/02 | 2020/11/27 | 50.00          |
| 51262    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 I              | 200,000,000  | 2020/06/02 | 2020/11/27 | 50.00          |
| 51259    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 B              | 200,000,000  | 2020/06/02 | 2020/12/30 | 50.00          |
| 51258    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 Z              | 200,000,000  | 2020/06/02 | 2020/12/30 | 50.00          |
| 51280    | Credit Suisse AG - Meituan Dianping R Bull CBBC Nov 2020 E | 80,000,000   | 2020/06/02 | 2020/11/27 | 20.00          |
| 51281    | Credit Suisse AG - Meituan Dianping R Bull CBBC Apr 2021 A | 150,000,000  | 2020/06/02 | 2021/04/29 | 37.50          |
| 51276    | Credit Suisse AG - SUNAC R Bull CBBC Feb 2021 A            | 60,000,000   | 2020/06/02 | 2021/02/25 | 15.00          |
| 51278    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 R          | 50,000,000   | 2020/06/02 | 2020/10/29 | 12.50          |
| 51275    | Credit Suisse AG - Xiaomi R Bull CBBC Oct 2020 F           | 50,000,000   | 2020/06/02 | 2020/10/29 | 12.50          |
| 51319    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 B   | 60,000,000   | 2020/06/02 | 2020/10/30 | 15.00          |
| 51316    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Jun 2021 E      | 80,000,000   | 2020/06/02 | 2021/06/01 | 20.00          |
| 51297    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 N       | 160,000,000  | 2020/06/02 | 2023/05/30 | 40.00          |
| 51303    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 O       | 160,000,000  | 2020/06/02 | 2023/05/30 | 40.00          |
| 51307    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 P       | 160,000,000  | 2020/06/02 | 2023/05/30 | 40.00          |
| 51310    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 Q       | 160,000,000  | 2020/06/02 | 2023/05/30 | 40.00          |
| 51311    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 X       | 160,000,000  | 2020/06/02 | 2023/05/30 | 40.00          |
| 51298    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 I       | 160,000,000  | 2020/06/02 | 2021/04/29 | 40.00          |
| 51302    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 J       | 160,000,000  | 2020/06/02 | 2021/04/29 | 40.00          |

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| 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 51312    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 K        | 160,000,000  | 2020/06/02 | 2021/04/29 | 40.00          |
| 51313    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 L        | 160,000,000  | 2020/06/02 | 2021/04/29 | 40.00          |
| 51314    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 M        | 160,000,000  | 2020/06/02 | 2021/04/29 | 40.00          |
| 51317    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Feb 2021 F    | 60,000,000   | 2020/06/02 | 2021/02/25 | 15.00          |
| 51315    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Feb 2021 B    | 60,000,000   | 2020/06/02 | 2021/02/25 | 15.00          |
| 51318    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 Z    | 60,000,000   | 2020/06/02 | 2020/10/30 | 15.00          |
| 51326    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Mar 2021 V    | 80,000,000   | 2020/06/02 | 2021/03/01 | 20.00          |
| 51033    | HK Bank - Alibaba Group R Bull CBBC Oct 2020 K              | 40,000,000   | 2020/06/02 | 2020/10/22 | 10.00          |
| 51043    | HK Bank - Galaxy Ent R Bull CBBC Nov 2020 H                 | 60,000,000   | 2020/06/02 | 2020/11/23 | 15.00          |
| 51031    | HK Bank - HKEX R Bear CBBC Dec 2020 A                       | 100,000,000  | 2020/06/02 | 2020/12/07 | 25.00          |
| 51024    | HK Bank - HSI R Bull CBBC Sep 2022 H                        | 100,000,000  | 2020/06/02 | 2022/09/29 | 25.00          |
| 51020    | HK Bank - HSI R Bull CBBC Dec 2022 C                        | 100,000,000  | 2020/06/02 | 2022/12/29 | 25.00          |
| 51021    | HK Bank - HSI R Bull CBBC Mar 2023 C                        | 80,000,000   | 2020/06/02 | 2023/03/30 | 20.00          |
| 51022    | HK Bank - HSI R Bear CBBC Sep 2020 O                        | 60,000,000   | 2020/06/02 | 2020/09/29 | 15.00          |
| 51023    | HK Bank - HSI R Bear CBBC Sep 2020 R                        | 80,000,000   | 2020/06/02 | 2020/09/29 | 20.00          |
| 51013    | HK Bank - HSI R Bear CBBC Oct 2020 A                        | 100,000,000  | 2020/06/02 | 2020/10/29 | 25.00          |
| 51042    | HK Bank - Meituan Dianping R Bull CBBC Nov 2020 D           | 40,000,000   | 2020/06/02 | 2020/11/05 | 10.00          |
| 51040    | HK Bank - Meituan Dianping R Bear CBBC Jan 2021 B           | 100,000,000  | 2020/06/02 | 2021/01/25 | 25.00          |
| 51035    | HK Bank - SUNAC R Bull CBBC Nov 2020 C                      | 40,000,000   | 2020/06/02 | 2020/11/23 | 10.00          |
| 51025    | HK Bank - Tencent R Bull CBBC Nov 2020 I                    | 40,000,000   | 2020/06/02 | 2020/11/16 | 10.00          |
| 51253    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Jan 2021 A    | 60,000,000   | 2020/06/02 | 2021/01/28 | 15.00          |
| 51256    | Haitong Int'l Sec - Alibaba Group R Bear CBBC Jan 2021 C    | 60,000,000   | 2020/06/02 | 2021/01/28 | 15.00          |
| 51223    | Haitong Int'l Sec - HKEX R Bull CBBC Jan 2021 A             | 60,000,000   | 2020/06/02 | 2021/01/28 | 15.00          |
| 51224    | Haitong Int'l Sec - HKEX R Bear CBBC Jan 2021 A             | 60,000,000   | 2020/06/02 | 2021/01/28 | 15.00          |
| 51228    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 G              | 150,000,000  | 2020/06/02 | 2022/11/29 | 37.50          |
| 51240    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 I              | 150,000,000  | 2020/06/02 | 2022/11/29 | 37.50          |
| 51242    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 J              | 150,000,000  | 2020/06/02 | 2022/11/29 | 37.50          |
| 51243    | Haitong Int'l Sec - HSI R Bull CBBC Nov 2022 K              | 200,000,000  | 2020/06/02 | 2022/11/29 | 50.00          |
| 51218    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 K              | 200,000,000  | 2020/06/02 | 2020/11/27 | 50.00          |
| 51215    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 Z              | 150,000,000  | 2020/06/02 | 2020/12/30 | 37.50          |
| 51219    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 U              | 300,000,000  | 2020/06/02 | 2021/01/28 | 75.00          |
| 51226    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Dec 2020 F | 60,000,000   | 2020/06/02 | 2020/12/17 | 15.00          |
| 51225    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Jan 2021 B | 60,000,000   | 2020/06/02 | 2021/01/28 | 15.00          |
| 51222    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Dec 2020 E | 60,000,000   | 2020/06/02 | 2020/12/17 | 15.00          |
| 51221    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Jan 2021 B | 60,000,000   | 2020/06/02 | 2021/01/28 | 15.00          |
| 51245    | Haitong Int'l Sec - Tencent R Bull CBBC Dec 2020 G          | 60,000,000   | 2020/06/02 | 2020/12/17 | 15.00          |
| 51244    | Haitong Int'l Sec - Tencent R Bull CBBC Jan 2021 C          | 60,000,000   | 2020/06/02 | 2021/01/28 | 15.00          |
| 51220    | Haitong Int'l Sec - Tencent R Bear CBBC Jan 2021 C          | 60,000,000   | 2020/06/02 | 2021/01/28 | 15.00          |
| 51249    | Haitong Int'l Sec - Xiaomi R Bull CBBC Dec 2020 C           | 80,000,000   | 2020/06/02 | 2020/12/17 | 20.00          |
| 51252    | Haitong Int'l Sec - Xiaomi R Bear CBBC Dec 2020 B           | 80,000,000   | 2020/06/02 | 2020/12/17 | 20.00          |
| 51122    | J P Morgan SP BV - Alibaba Group R Bull CBBC Dec 2020 F     | 80,000,000   | 2020/06/02 | 2020/12/18 | 20.00          |
| 51123    | J P Morgan SP BV - HKEX R Bear CBBC Dec 2020 A              | 40,000,000   | 2020/06/02 | 2020/12/18 | 12.60          |
| 51110    | J P Morgan SP BV - HSI R Bull CBBC Nov 2022 Q               | 200,000,000  | 2020/06/02 | 2022/11/29 | 50.00          |
| 51109    | J P Morgan SP BV - HSI R Bull CBBC Nov 2022 V               | 200,000,000  | 2020/06/02 | 2022/11/29 | 50.00          |
| 51108    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 N               | 200,000,000  | 2020/06/02 | 2022/12/29 | 50.00          |

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| 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 51111    | J P Morgan SP BV - HSI R Bull CBBC Dec 2022 X              | 200,000,000  | 2020/06/02 | 2022/12/29 | 50.00          |
| 51107    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 Q              | 200,000,000  | 2020/06/02 | 2023/01/30 | 50.00          |
| 51112    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 U              | 200,000,000  | 2020/06/02 | 2023/01/30 | 50.00          |
| 51113    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 W              | 200,000,000  | 2020/06/02 | 2023/01/30 | 50.00          |
| 51136    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 Z              | 200,000,000  | 2020/06/02 | 2023/03/30 | 50.00          |
| 51141    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 S              | 200,000,000  | 2020/06/02 | 2023/04/27 | 50.00          |
| 51103    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 T              | 200,000,000  | 2020/06/02 | 2021/01/28 | 50.00          |
| 51104    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 U              | 200,000,000  | 2020/06/02 | 2021/01/28 | 50.00          |
| 51105    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 V              | 200,000,000  | 2020/06/02 | 2021/01/28 | 50.00          |
| 51106    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 W              | 200,000,000  | 2020/06/02 | 2021/01/28 | 50.00          |
| 51129    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 X              | 200,000,000  | 2020/06/02 | 2021/01/28 | 50.00          |
| 51130    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 Y              | 200,000,000  | 2020/06/02 | 2021/01/28 | 50.00          |
| 51115    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Nov 2020 D | 80,000,000   | 2020/06/02 | 2020/11/20 | 20.00          |
| 51114    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Dec 2020 C | 80,000,000   | 2020/06/02 | 2020/12/18 | 20.00          |
| 51116    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Dec 2020 C | 80,000,000   | 2020/06/02 | 2020/12/11 | 22.80          |
| 51124    | J P Morgan SP BV - Tencent R Bull CBBC Nov 2020 C          | 50,000,000   | 2020/06/02 | 2020/11/20 | 12.50          |
| 51095    | Morgan Stanley Asia Products - HSI R Bull CBBC Dec 2022 M  | 150,000,000  | 2020/06/02 | 2022/12/29 | 37.50          |
| 51102    | Morgan Stanley Asia Products - HSI R Bull CBBC Mar 2023 C  | 150,000,000  | 2020/06/02 | 2023/03/30 | 37.50          |
| 51093    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 F  | 150,000,000  | 2020/06/02 | 2020/09/29 | 37.50          |
| 51014    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 V  | 150,000,000  | 2020/06/02 | 2020/10/29 | 37.50          |
| 51015    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 W  | 150,000,000  | 2020/06/02 | 2020/10/29 | 37.50          |
| 51018    | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 I  | 150,000,000  | 2020/06/02 | 2020/11/27 | 37.50          |
| 51342    | SG Issuer - AIA R Bull CBBC Dec 2020 R                     | 60,000,000   | 2020/06/02 | 2020/12/31 | 15.00          |
| 51344    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 M           | 60,000,000   | 2020/06/02 | 2020/11/30 | 15.00          |
| 51335    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 K           | 60,000,000   | 2020/06/02 | 2021/01/28 | 15.00          |
| 51346    | SG Issuer - HKEX R Bull CBBC Nov 2020 E                    | 50,000,000   | 2020/06/02 | 2020/11/30 | 12.50          |
| 51347    | SG Issuer - HKEX R Bear CBBC Dec 2020 J                    | 50,000,000   | 2020/06/02 | 2020/12/30 | 16.50          |
| 51337    | SG Issuer - HKEX R Bear CBBC Jan 2021 F                    | 50,000,000   | 2020/06/02 | 2021/01/28 | 12.50          |
| 51348    | SG Issuer - HKEX R Bear CBBC Jan 2021 G                    | 50,000,000   | 2020/06/02 | 2021/01/28 | 21.50          |
| 51364    | SG Issuer - HSI R Bull CBBC Apr 2023 L                     | 250,000,000  | 2020/06/02 | 2023/04/27 | 62.50          |
| 51365    | SG Issuer - HSI R Bull CBBC May 2023 X                     | 250,000,000  | 2020/06/02 | 2023/05/30 | 62.50          |
| 51366    | SG Issuer - HSI R Bull CBBC Jun 2023 C                     | 250,000,000  | 2020/06/02 | 2023/06/29 | 62.50          |
| 51372    | SG Issuer - HSI R Bull CBBC Jun 2023 D                     | 250,000,000  | 2020/06/02 | 2023/06/29 | 62.50          |
| 51374    | SG Issuer - HSI R Bull CBBC Jun 2023 E                     | 250,000,000  | 2020/06/02 | 2023/06/29 | 62.50          |
| 51375    | SG Issuer - HSI R Bull CBBC Jun 2023 F                     | 250,000,000  | 2020/06/02 | 2023/06/29 | 62.50          |
| 51376    | SG Issuer - HSI R Bull CBBC Jun 2023 G                     | 250,000,000  | 2020/06/02 | 2023/06/29 | 62.50          |
| 51333    | SG Issuer - HSI R Bear CBBC Nov 2020 F                     | 250,000,000  | 2020/06/02 | 2020/11/27 | 62.50          |
| 51327    | SG Issuer - HSI R Bear CBBC Nov 2020 Q                     | 250,000,000  | 2020/06/02 | 2020/11/27 | 62.50          |
| 51328    | SG Issuer - HSI R Bear CBBC Nov 2020 R                     | 250,000,000  | 2020/06/02 | 2020/11/27 | 62.50          |
| 51360    | SG Issuer - HSI R Bear CBBC Dec 2020 W                     | 250,000,000  | 2020/06/02 | 2020/12/30 | 62.50          |
| 51363    | SG Issuer - HSI R Bear CBBC Dec 2020 Z                     | 250,000,000  | 2020/06/02 | 2020/12/30 | 62.50          |
| 51334    | SG Issuer - HSI R Bear CBBC Jan 2021 G                     | 250,000,000  | 2020/06/02 | 2021/01/28 | 62.50          |
| 51359    | SG Issuer - HSI R Bear CBBC Jan 2021 K                     | 250,000,000  | 2020/06/02 | 2021/01/28 | 62.50          |
| 51377    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 E        | 100,000,000  | 2020/06/02 | 2021/01/29 | 25.00          |
| 51381    | SG Issuer - Meituan Dianping R Bull CBBC Feb 2021 D        | 100,000,000  | 2020/06/02 | 2021/02/25 | 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 51338    | SG Issuer - Meituan Dianping R Bear CBBC Nov 2020 H     | 100,000,000  | 2020/06/02 | 2020/11/27 | 25.00          |
| 51350    | SG Issuer - Meituan Dianping R Bear CBBC Nov 2020 I     | 100,000,000  | 2020/06/02 | 2020/11/27 | 25.00          |
| 51339    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 N     | 100,000,000  | 2020/06/02 | 2020/12/30 | 25.00          |
| 51352    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 O     | 100,000,000  | 2020/06/02 | 2020/12/30 | 25.00          |
| 51354    | SG Issuer - SMIC R Bull CBBC Apr 2021 B                 | 120,000,000  | 2020/06/02 | 2021/04/29 | 30.00          |
| 51388    | SG Issuer - Tencent R Bull CBBC Jan 2021 C              | 80,000,000   | 2020/06/02 | 2021/01/29 | 20.00          |
| 51355    | SG Issuer - Tencent R Bear CBBC Nov 2020 I              | 80,000,000   | 2020/06/02 | 2020/11/27 | 20.00          |
| 51340    | SG Issuer - Tencent R Bear CBBC Dec 2020 Q              | 80,000,000   | 2020/06/02 | 2020/12/30 | 20.00          |
| 51356    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 K               | 60,000,000   | 2020/06/02 | 2020/12/31 | 15.00          |
| 51341    | SG Issuer - Xiaomi R Bear CBBC Jan 2021 B               | 60,000,000   | 2020/06/02 | 2021/01/28 | 15.00          |
| 51358    | SG Issuer - ZTE R Bull CBBC Jan 2021 A                  | 60,000,000   | 2020/06/02 | 2021/01/28 | 15.00          |
| 51175    | UBS AG - HKEX R Bear CBBC Dec 2020 I                    | 50,000,000   | 2020/06/02 | 2020/12/21 | 12.50          |
| 51178    | UBS AG - HSI R Bull CBBC Sep 2022 O                     | 200,000,000  | 2020/06/02 | 2022/09/29 | 50.00          |
| 51179    | UBS AG - HSI R Bull CBBC Sep 2022 P                     | 400,000,000  | 2020/06/02 | 2022/09/29 | 100.00         |
| 51177    | UBS AG - HSI R Bull CBBC Oct 2022 C                     | 200,000,000  | 2020/06/02 | 2022/10/28 | 50.00          |
| 51188    | UBS AG - HSI R Bull CBBC Oct 2022 D                     | 200,000,000  | 2020/06/02 | 2022/10/28 | 50.00          |
| 51176    | UBS AG - HSI R Bull CBBC Nov 2022 I                     | 200,000,000  | 2020/06/02 | 2022/11/29 | 50.00          |
| 51180    | UBS AG - HSI R Bull CBBC Nov 2022 K                     | 200,000,000  | 2020/06/02 | 2022/11/29 | 50.00          |
| 51147    | UBS AG - HSI R Bear CBBC Oct 2020 K                     | 200,000,000  | 2020/06/02 | 2020/10/29 | 50.00          |
| 51143    | UBS AG - HSI R Bear CBBC Oct 2020 V                     | 200,000,000  | 2020/06/02 | 2020/10/29 | 50.00          |
| 51157    | UBS AG - HSI R Bear CBBC Nov 2020 K                     | 200,000,000  | 2020/06/02 | 2020/11/27 | 50.00          |
| 51155    | UBS AG - HSI R Bear CBBC Nov 2020 O                     | 200,000,000  | 2020/06/02 | 2020/11/27 | 50.00          |
| 51156    | UBS AG - HSI R Bear CBBC Nov 2020 P                     | 200,000,000  | 2020/06/02 | 2020/11/27 | 50.00          |
| 51170    | UBS AG - HSI R Bear CBBC Dec 2020 Z                     | 200,000,000  | 2020/06/02 | 2020/12/30 | 50.00          |
| 51154    | UBS AG - HSI R Bear CBBC Jan 2021 Y                     | 400,000,000  | 2020/06/02 | 2021/01/28 | 100.00         |
| 51173    | UBS AG - Meituan Dianping R Bull CBBC Jan 2021 G        | 50,000,000   | 2020/06/02 | 2021/01/12 | 12.50          |
| 51174    | UBS AG - Meituan Dianping R Bull CBBC Jan 2021 H        | 50,000,000   | 2020/06/02 | 2021/01/26 | 12.50          |
| 51158    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 A        | 50,000,000   | 2020/06/02 | 2020/12/07 | 12.50          |
| 51171    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 D        | 50,000,000   | 2020/06/02 | 2020/12/28 | 14.75          |
| 51160    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 E        | 50,000,000   | 2020/06/02 | 2020/12/21 | 12.50          |
| 51161    | UBS AG - Meituan Dianping R Bear CBBC Jan 2021 E        | 50,000,000   | 2020/06/02 | 2021/01/28 | 12.50          |
| 51162    | UBS AG - Meituan Dianping R Bear CBBC Jun 2021 B        | 150,000,000  | 2020/06/02 | 2021/06/07 | 37.50          |
| 51185    | UBS AG - Tencent R Bull CBBC Jan 2021 L                 | 40,000,000   | 2020/06/02 | 2021/01/04 | 10.00          |
| 51187    | UBS AG - Tencent R Bull CBBC Jan 2021 M                 | 200,000,000  | 2020/06/02 | 2021/01/25 | 50.00          |
| 51169    | UBS AG - Tencent R Bear CBBC Dec 2020 I                 | 40,000,000   | 2020/06/02 | 2020/12/21 | 10.00          |
| 51163    | UBS AG - Tencent R Bear CBBC Dec 2020 N                 | 40,000,000   | 2020/06/02 | 2020/12/16 | 10.00          |
| 51203    | Bank Vontobel - AIA R Bull CBBC Jan 2021 A              | 80,000,000   | 2020/06/02 | 2021/01/22 | 20.00          |
| 51199    | Bank Vontobel - HKEX R Bull CBBC Jan 2021 C             | 40,000,000   | 2020/06/02 | 2021/01/22 | 10.00          |
| 51189    | Bank Vontobel - HSI R Bull CBBC Dec 2022 M              | 80,000,000   | 2020/06/02 | 2022/12/29 | 20.00          |
| 51190    | Bank Vontobel - HSI R Bull CBBC Dec 2022 N              | 80,000,000   | 2020/06/02 | 2022/12/29 | 20.00          |
| 51204    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 K | 60,000,000   | 2020/06/02 | 2021/01/08 | 15.00          |
| 51207    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 L | 60,000,000   | 2020/06/02 | 2021/01/22 | 15.00          |
| 51206    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 E | 60,000,000   | 2020/06/02 | 2021/01/08 | 21.06          |
| 51198    | Bank Vontobel - Tencent R Bull CBBC Jan 2021 E          | 40,000,000   | 2020/06/02 | 2021/01/22 | 10.00          |
| 51196    | Bank Vontobel - Xiaomi R Bull CBBC Feb 2021 E           | 40,000,000   | 2020/06/02 | 2021/02/05 | 10.00          |

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|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 51429    | BOCI Asia Ltd. - AAC Tech R Bull CBBC Dec 2020 C            | 80,000,000   | 2020/06/03 | 2020/12/30 | 20.00          |
| 51426    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 C                 | 150,000,000  | 2020/06/03 | 2023/01/30 | 37.50          |
| 51427    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 D                 | 150,000,000  | 2020/06/03 | 2023/01/30 | 37.50          |
| 51428    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 L                 | 150,000,000  | 2020/06/03 | 2020/10/29 | 37.50          |
| 51577    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 W      | 200,000,000  | 2020/06/03 | 2022/12/29 | 50.00          |
| 51567    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Q      | 250,000,000  | 2020/06/03 | 2020/12/30 | 62.50          |
| 51578    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 T      | 240,000,000  | 2020/06/03 | 2020/12/30 | 60.00          |
| 51610    | Credit Suisse AG - Alibaba Group R Bull CBBC Nov 2020 G     | 80,000,000   | 2020/06/03 | 2020/11/27 | 20.00          |
| 51584    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 K               | 200,000,000  | 2020/06/03 | 2022/11/29 | 50.00          |
| 51611    | Credit Suisse AG - HSI R Bull CBBC Nov 2022 M               | 200,000,000  | 2020/06/03 | 2022/11/29 | 50.00          |
| 51579    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 O               | 200,000,000  | 2020/06/03 | 2022/12/29 | 50.00          |
| 51585    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 R               | 200,000,000  | 2020/06/03 | 2022/12/29 | 50.00          |
| 51588    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 C               | 200,000,000  | 2020/06/03 | 2023/01/30 | 50.00          |
| 51613    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 X               | 200,000,000  | 2020/06/03 | 2020/10/29 | 50.00          |
| 51820    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 O               | 200,000,000  | 2020/06/03 | 2020/11/27 | 50.00          |
| 51755    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 E               | 300,000,000  | 2020/06/03 | 2020/12/30 | 75.00          |
| 51589    | Credit Suisse AG - Meituan Dianping R Bull CBBC Oct 2020 H  | 80,000,000   | 2020/06/03 | 2020/10/29 | 20.00          |
| 51608    | Credit Suisse AG - Sands China R Bull CBBC Apr 2021 C       | 60,000,000   | 2020/06/03 | 2021/04/29 | 15.00          |
| 51590    | Credit Suisse AG - Tencent R Bull CBBC Sep 2020 S           | 50,000,000   | 2020/06/03 | 2020/09/29 | 12.50          |
| 51557    | Goldman Sachs SP (Asia) - China Life R Bull CBBC Jun 2021 C | 80,000,000   | 2020/06/03 | 2021/06/01 | 20.00          |
| 51535    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 J        | 160,000,000  | 2020/06/03 | 2023/03/30 | 40.00          |
| 51543    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Mar 2023 Q        | 160,000,000  | 2020/06/03 | 2023/03/30 | 40.00          |
| 51513    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 Y        | 160,000,000  | 2020/06/03 | 2023/05/30 | 40.00          |
| 51542    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 Z        | 160,000,000  | 2020/06/03 | 2023/05/30 | 40.00          |
| 51506    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 N        | 160,000,000  | 2020/06/03 | 2021/04/29 | 40.00          |
| 51536    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 O        | 160,000,000  | 2020/06/03 | 2021/04/29 | 40.00          |
| 51537    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 P        | 160,000,000  | 2020/06/03 | 2021/04/29 | 40.00          |
| 51541    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 Q        | 160,000,000  | 2020/06/03 | 2021/04/29 | 40.00          |
| 51561    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Feb 2021 G    | 60,000,000   | 2020/06/03 | 2021/02/25 | 15.00          |
| 51544    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Jun 2021 A    | 60,000,000   | 2020/06/03 | 2021/06/01 | 15.00          |
| 51563    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 F    | 60,000,000   | 2020/06/03 | 2020/10/30 | 15.00          |
| 51564    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Mar 2021 N    | 60,000,000   | 2020/06/03 | 2021/03/01 | 15.00          |
| 51404    | HK Bank - Alibaba Group R Bull CBBC Oct 2020 L              | 40,000,000   | 2020/06/03 | 2020/10/15 | 10.00          |
| 51406    | HK Bank - Geely Auto R Bear CBBC Oct 2020 A                 | 40,000,000   | 2020/06/03 | 2020/10/12 | 10.00          |
| 51389    | HK Bank - HSI R Bull CBBC Sep 2022 N                        | 60,000,000   | 2020/06/03 | 2022/09/29 | 15.00          |
| 51410    | HK Bank - HSI R Bull CBBC Dec 2022 E                        | 100,000,000  | 2020/06/03 | 2022/12/29 | 25.00          |
| 51407    | HK Bank - HSI R Bear CBBC Oct 2020 B                        | 100,000,000  | 2020/06/03 | 2020/10/29 | 25.00          |
| 51394    | HK Bank - Meituan Dianping R Bull CBBC Nov 2020 E           | 40,000,000   | 2020/06/03 | 2020/11/02 | 10.00          |
| 51390    | HK Bank - Tencent R Bull CBBC Nov 2020 J                    | 40,000,000   | 2020/06/03 | 2020/11/19 | 10.00          |
| 51403    | HK Bank - Tencent R Bear CBBC Oct 2020 H                    | 40,000,000   | 2020/06/03 | 2020/10/08 | 10.00          |
| 51405    | HK Bank - ZTE R Bull CBBC Dec 2020 B                        | 40,000,000   | 2020/06/03 | 2020/12/07 | 10.00          |
| 52261    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Feb 2022 A    | 60,000,000   | 2020/06/03 | 2022/02/25 | 15.00          |
| 52653    | Haitong Int'l Sec - China Mobile R Bull CBBC Feb 2022 A     | 80,000,000   | 2020/06/03 | 2022/02/25 | 20.00          |
| 52705    | Haitong Int'l Sec - China Mobile R Bear CBBC Feb 2022 A     | 80,000,000   | 2020/06/03 | 2022/02/25 | 20.00          |
| 52004    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 O              | 150,000,000  | 2020/06/03 | 2022/12/29 | 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 51931    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 N               | 150,000,000  | 2020/06/03 | 2023/03/30 | 37.50          |
| 51998    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 O               | 150,000,000  | 2020/06/03 | 2023/03/30 | 37.50          |
| 52434    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 L               | 150,000,000  | 2020/06/03 | 2020/10/29 | 37.50          |
| 52540    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 A               | 200,000,000  | 2020/06/03 | 2020/12/30 | 50.00          |
| 52652    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 B               | 150,000,000  | 2020/06/03 | 2020/12/30 | 37.50          |
| 52379    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Feb 2022 A  | 60,000,000   | 2020/06/03 | 2022/02/25 | 15.00          |
| 52768    | Haitong Int'l Sec - Sands China R Bull CBBC Feb 2022 A       | 80,000,000   | 2020/06/03 | 2022/02/25 | 20.00          |
| 52065    | Haitong Int'l Sec - Tencent R Bull CBBC Feb 2022 A           | 60,000,000   | 2020/06/03 | 2022/02/25 | 15.00          |
| 51472    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 X                | 240,000,000  | 2020/06/03 | 2023/01/30 | 60.00          |
| 51486    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 L                | 200,000,000  | 2020/06/03 | 2023/02/27 | 50.00          |
| 51473    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 D                | 200,000,000  | 2020/06/03 | 2023/03/30 | 50.00          |
| 51493    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 U                | 200,000,000  | 2020/06/03 | 2023/03/30 | 50.00          |
| 51489    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 T                | 200,000,000  | 2020/06/03 | 2023/04/27 | 50.00          |
| 51492    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 U                | 200,000,000  | 2020/06/03 | 2023/04/27 | 50.00          |
| 51488    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 J                | 200,000,000  | 2020/06/03 | 2023/09/28 | 50.00          |
| 51476    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 A                | 200,000,000  | 2020/06/03 | 2021/01/28 | 50.00          |
| 51485    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 C                | 200,000,000  | 2020/06/03 | 2021/01/28 | 50.00          |
| 51474    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 Z                | 200,000,000  | 2020/06/03 | 2021/01/28 | 50.00          |
| 51504    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Nov 2020 E   | 80,000,000   | 2020/06/03 | 2020/11/20 | 20.00          |
| 51505    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Feb 2021 A   | 80,000,000   | 2020/06/03 | 2021/02/11 | 30.00          |
| 51496    | J P Morgan SP BV - Tencent R Bull CBBC Dec 2020 C            | 50,000,000   | 2020/06/03 | 2020/12/18 | 12.50          |
| 51424    | Morgan Stanley Asia Products - Galaxy R Bull CBBC Dec 2020 F | 40,000,000   | 2020/06/03 | 2020/12/01 | 10.00          |
| 51423    | Morgan Stanley Asia Products - Galaxy R Bear CBBC Dec 2020 C | 40,000,000   | 2020/06/03 | 2020/12/14 | 10.00          |
| 51425    | Morgan Stanley Asia Products - HKEX R Bear CBBC Dec 2020 E   | 40,000,000   | 2020/06/03 | 2020/12/30 | 10.00          |
| 51470    | Morgan Stanley Asia Products - HSI R Bull CBBC Mar 2023 D    | 150,000,000  | 2020/06/03 | 2023/03/30 | 37.50          |
| 51459    | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 H    | 150,000,000  | 2020/06/03 | 2020/12/30 | 37.50          |
| 51422    | Morgan Stanley Asia Products - Meituan R Bull CBBC Oct 2020B | 40,000,000   | 2020/06/03 | 2020/10/19 | 10.00          |
| 51421    | Morgan Stanley Asia Products - Meituan R Bear CBBC Dec 2020J | 40,000,000   | 2020/06/03 | 2020/12/21 | 10.00          |
| 53585    | SG Issuer - AIA R Bear CBBC Jan 2021 B                       | 60,000,000   | 2020/06/03 | 2021/01/28 | 15.00          |
| 53622    | SG Issuer - Alibaba Group R Bull CBBC Jan 2021 C             | 60,000,000   | 2020/06/03 | 2021/01/28 | 15.00          |
| 52974    | SG Issuer - Alibaba Group R Bull CBBC Feb 2021 C             | 60,000,000   | 2020/06/03 | 2021/02/25 | 15.00          |
| 52769    | SG Issuer - China Life R Bear CBBC Feb 2021 B                | 150,000,000  | 2020/06/03 | 2021/02/26 | 37.50          |
| 52860    | SG Issuer - CNOOC R Bear CBBC Dec 2020 B                     | 40,000,000   | 2020/06/03 | 2020/12/30 | 10.00          |
| 53721    | SG Issuer - Galaxy Ent R Bear CBBC Nov 2020 C                | 100,000,000  | 2020/06/03 | 2020/11/27 | 25.00          |
| 52861    | SG Issuer - HKEX R Bull CBBC Jan 2021 B                      | 50,000,000   | 2020/06/03 | 2021/01/29 | 12.50          |
| 53373    | SG Issuer - HSI R Bull CBBC Apr 2023 M                       | 250,000,000  | 2020/06/03 | 2023/04/27 | 62.50          |
| 53376    | SG Issuer - HSI R Bull CBBC May 2023 C                       | 250,000,000  | 2020/06/03 | 2023/05/30 | 62.50          |
| 53558    | SG Issuer - HSI R Bull CBBC May 2023 D                       | 250,000,000  | 2020/06/03 | 2023/05/30 | 62.50          |
| 52873    | SG Issuer - HSI R Bull CBBC Jun 2023 H                       | 250,000,000  | 2020/06/03 | 2023/06/29 | 62.50          |
| 53583    | SG Issuer - HSI R Bull CBBC Jun 2023 I                       | 250,000,000  | 2020/06/03 | 2023/06/29 | 62.50          |
| 53388    | SG Issuer - HSI R Bear CBBC Nov 2020 L                       | 250,000,000  | 2020/06/03 | 2020/11/27 | 62.50          |
| 53515    | SG Issuer - HSI R Bear CBBC Jan 2021 H                       | 250,000,000  | 2020/06/03 | 2021/01/28 | 62.50          |
| 53304    | SG Issuer - HSI R Bear CBBC Jan 2021 L                       | 250,000,000  | 2020/06/03 | 2021/01/28 | 62.50          |
| 53523    | SG Issuer - HSI R Bear CBBC Feb 2021 S                       | 250,000,000  | 2020/06/03 | 2021/02/25 | 62.50          |
| 52980    | SG Issuer - Link REIT R Bear CBBC Jan 2021 A                 | 60,000,000   | 2020/06/03 | 2021/01/28 | 15.00          |

# 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 52862    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 F        | 100,000,000  | 2020/06/03 | 2020/12/31 | 25.00          |
| 53724    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 F        | 100,000,000  | 2020/06/03 | 2021/01/28 | 25.00          |
| 53069    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 D        | 100,000,000  | 2020/06/03 | 2021/02/25 | 25.00          |
| 53076    | SG Issuer - Meituan Dianping R Bear CBBC Mar 2021 A        | 100,000,000  | 2020/06/03 | 2021/03/31 | 33.50          |
| 53077    | SG Issuer - SUNAC R Bear CBBC Jan 2021 A                   | 80,000,000   | 2020/06/03 | 2021/01/28 | 20.00          |
| 53194    | SG Issuer - Tencent R Bull CBBC Sep 2020 V                 | 80,000,000   | 2020/06/03 | 2020/09/30 | 20.00          |
| 52863    | SG Issuer - Tencent R Bull CBBC Nov 2020 Q                 | 80,000,000   | 2020/06/03 | 2020/11/30 | 20.00          |
| 53880    | SG Issuer - Tencent R Bull CBBC Jan 2021 D                 | 80,000,000   | 2020/06/03 | 2021/01/28 | 20.00          |
| 51453    | UBS AG - Alibaba Group R Bear CBBC Mar 2021 B              | 80,000,000   | 2020/06/03 | 2021/03/01 | 20.00          |
| 51454    | UBS AG - HKEX R Bull CBBC Mar 2021 B                       | 50,000,000   | 2020/06/03 | 2021/03/01 | 12.50          |
| 51432    | UBS AG - HSI R Bull CBBC Nov 2022 D                        | 200,000,000  | 2020/06/03 | 2022/11/29 | 50.00          |
| 51430    | UBS AG - HSI R Bull CBBC Nov 2022 O                        | 200,000,000  | 2020/06/03 | 2022/11/29 | 50.00          |
| 51442    | UBS AG - HSI R Bear CBBC Dec 2020 H                        | 200,000,000  | 2020/06/03 | 2020/12/30 | 50.00          |
| 51443    | UBS AG - HSI R Bear CBBC Dec 2020 Q                        | 200,000,000  | 2020/06/03 | 2020/12/30 | 50.00          |
| 51445    | UBS AG - HSI R Bear CBBC Dec 2020 R                        | 400,000,000  | 2020/06/03 | 2020/12/30 | 100.00         |
| 51449    | UBS AG - HSI R Bear CBBC Dec 2020 T                        | 200,000,000  | 2020/06/03 | 2020/12/30 | 50.00          |
| 51452    | UBS AG - Meituan Dianping R Bull CBBC Oct 2021 A           | 200,000,000  | 2020/06/03 | 2021/10/29 | 50.00          |
| 51450    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 F           | 50,000,000   | 2020/06/03 | 2020/12/09 | 12.50          |
| 51456    | UBS AG - SMIC R Bull CBBC Aug 2021 B                       | 100,000,000  | 2020/06/03 | 2021/08/31 | 25.00          |
| 51457    | UBS AG - SMIC R Bear CBBC Feb 2021 A                       | 100,000,000  | 2020/06/03 | 2021/02/26 | 25.00          |
| 51440    | UBS AG - Tencent R Bull CBBC Mar 2021 G                    | 40,000,000   | 2020/06/03 | 2021/03/01 | 10.00          |
| 51441    | UBS AG - Tencent R Bull CBBC Mar 2021 H                    | 200,000,000  | 2020/06/03 | 2021/03/23 | 50.00          |
| 51395    | Bank Vontobel - China Mobile R Bear CBBC Jan 2021 A        | 40,000,000   | 2020/06/03 | 2021/01/15 | 10.00          |
| 51420    | Bank Vontobel - HSI R Bull CBBC Dec 2022 O                 | 80,000,000   | 2020/06/03 | 2022/12/29 | 20.00          |
| 51411    | Bank Vontobel - HSI R Bear CBBC Dec 2020 Q                 | 80,000,000   | 2020/06/03 | 2020/12/30 | 20.00          |
| 51419    | Bank Vontobel - HSI R Bear CBBC Dec 2020 R                 | 80,000,000   | 2020/06/03 | 2020/12/30 | 20.00          |
| 51398    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 M    | 60,000,000   | 2020/06/03 | 2021/01/15 | 15.00          |
| 51400    | Bank Vontobel - Sands China R Bull CBBC Feb 2021 B         | 40,000,000   | 2020/06/03 | 2021/02/19 | 10.00          |
| 51399    | Bank Vontobel - Tencent R Bear CBBC Jan 2021 F             | 40,000,000   | 2020/06/03 | 2021/01/15 | 10.00          |
| 56465    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 H      | 60,000,000   | 2020/06/04 | 2020/12/30 | 15.00          |
| 56464    | BOCI Asia Ltd. - China Life R Bull CBBC Dec 2020 A         | 40,000,000   | 2020/06/04 | 2020/12/30 | 10.00          |
| 56133    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 B                | 150,000,000  | 2020/06/04 | 2023/01/30 | 37.50          |
| 56259    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 H                | 150,000,000  | 2020/06/04 | 2020/10/29 | 37.50          |
| 56379    | BOCI Asia Ltd. - Ping An R Bull CBBC Nov 2020 B            | 60,000,000   | 2020/06/04 | 2020/11/30 | 15.00          |
| 56339    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 B            | 40,000,000   | 2020/06/04 | 2020/12/30 | 10.00          |
| 54831    | BNP Paribas Issuance B.V. - Alibaba R Bear CBBC Apr 2021 A | 100,000,000  | 2020/06/04 | 2021/04/29 | 25.00          |
| 54879    | BNP Paribas Issuance B.V. - Alibaba R Bear CBBC Apr 2021 B | 100,000,000  | 2020/06/04 | 2021/04/29 | 25.00          |
| 54885    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 L    | 50,000,000   | 2020/06/04 | 2020/11/27 | 12.50          |
| 54888    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 M    | 50,000,000   | 2020/06/04 | 2020/11/27 | 12.50          |
| 54957    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 N    | 50,000,000   | 2020/06/04 | 2020/11/27 | 12.50          |
| 57166    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 X     | 200,000,000  | 2020/06/04 | 2022/12/29 | 50.00          |
| 57167    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 Y     | 200,000,000  | 2020/06/04 | 2022/12/29 | 50.00          |
| 57174    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 Z     | 200,000,000  | 2020/06/04 | 2022/12/29 | 50.00          |
| 54353    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 O     | 250,000,000  | 2020/06/04 | 2021/01/28 | 62.50          |
| 54612    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 P     | 250,000,000  | 2020/06/04 | 2021/01/28 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 54614    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 Q     | 250,000,000  | 2020/06/04 | 2021/01/28 | 62.50          |
| 54637    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 R     | 250,000,000  | 2020/06/04 | 2021/01/28 | 62.50          |
| 54690    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 S     | 250,000,000  | 2020/06/04 | 2021/01/28 | 62.50          |
| 57182    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 T     | 240,000,000  | 2020/06/04 | 2021/01/28 | 60.00          |
| 54828    | BNP Paribas Issuance B.V. - Ping An R Bull CBBC Jun 2021 A | 200,000,000  | 2020/06/04 | 2021/06/29 | 50.00          |
| 54830    | BNP Paribas Issuance B.V. - Ping An R Bear CBBC Apr 2021 A | 200,000,000  | 2020/06/04 | 2021/04/29 | 50.00          |
| 54706    | BNP Paribas Issuance B.V. - Xiaomi R Bull CBBC Nov 2020 Y  | 50,000,000   | 2020/06/04 | 2020/11/27 | 12.50          |
| 54799    | BNP Paribas Issuance B.V. - Xiaomi R Bear CBBC Nov 2020 L  | 50,000,000   | 2020/06/04 | 2020/11/27 | 12.50          |
| 54827    | BNP Paribas Issuance B.V. - Xiaomi R Bear CBBC Nov 2020 M  | 50,000,000   | 2020/06/04 | 2020/11/27 | 12.50          |
| 57206    | Credit Suisse AG - AAC Tech R Bear CBBC Dec 2020 A         | 50,000,000   | 2020/06/04 | 2020/12/30 | 12.50          |
| 57308    | Credit Suisse AG - HKEX R Bull CBBC Oct 2020 E             | 50,000,000   | 2020/06/04 | 2020/10/29 | 12.50          |
| 57190    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 V              | 200,000,000  | 2020/06/04 | 2022/12/29 | 50.00          |
| 57186    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 F              | 200,000,000  | 2020/06/04 | 2023/01/30 | 50.00          |
| 57239    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 B              | 200,000,000  | 2020/06/04 | 2023/02/27 | 50.00          |
| 57195    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 D              | 200,000,000  | 2020/06/04 | 2023/02/27 | 50.00          |
| 57244    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 B              | 200,000,000  | 2020/06/04 | 2020/10/29 | 50.00          |
| 57303    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 K              | 200,000,000  | 2020/06/04 | 2020/10/29 | 50.00          |
| 57293    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 J              | 200,000,000  | 2020/06/04 | 2020/11/27 | 50.00          |
| 57261    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 Y              | 200,000,000  | 2020/06/04 | 2020/11/27 | 50.00          |
| 57287    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 F              | 300,000,000  | 2020/06/04 | 2020/12/30 | 75.00          |
| 57324    | Credit Suisse AG - Link REIT R Bull CBBC Jan 2021 B        | 50,000,000   | 2020/06/04 | 2021/01/28 | 12.50          |
| 57199    | Credit Suisse AG - SMIC R Bear CBBC Jan 2021 A             | 50,000,000   | 2020/06/04 | 2021/01/28 | 12.50          |
| 57225    | Credit Suisse AG - Sunny Optical R Bear CBBC Dec 2020 F    | 40,000,000   | 2020/06/04 | 2020/12/30 | 10.00          |
| 57197    | Credit Suisse AG - ZTE R Bull CBBC Nov 2020 C              | 50,000,000   | 2020/06/04 | 2020/11/27 | 12.50          |
| 57975    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Jun 2021 F   | 60,000,000   | 2020/06/04 | 2021/06/01 | 15.00          |
| 57868    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 A       | 160,000,000  | 2020/06/04 | 2023/06/29 | 40.00          |
| 57875    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 B       | 160,000,000  | 2020/06/04 | 2023/06/29 | 40.00          |
| 57908    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 C       | 160,000,000  | 2020/06/04 | 2023/06/29 | 40.00          |
| 57914    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 D       | 160,000,000  | 2020/06/04 | 2023/06/29 | 40.00          |
| 57927    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 R       | 160,000,000  | 2020/06/04 | 2021/04/29 | 40.00          |
| 57932    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 S       | 160,000,000  | 2020/06/04 | 2021/04/29 | 40.00          |
| 57940    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 T       | 160,000,000  | 2020/06/04 | 2021/04/29 | 40.00          |
| 57954    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 U       | 160,000,000  | 2020/06/04 | 2021/04/29 | 40.00          |
| 57965    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 V       | 160,000,000  | 2020/06/04 | 2021/04/29 | 40.00          |
| 57966    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 W       | 160,000,000  | 2020/06/04 | 2021/04/29 | 40.00          |
| 57968    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 X       | 160,000,000  | 2020/06/04 | 2021/04/29 | 40.00          |
| 57995    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Feb 2021 H   | 60,000,000   | 2020/06/04 | 2021/02/25 | 15.00          |
| 57973    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Aug 2021 A   | 60,000,000   | 2020/06/04 | 2021/08/31 | 15.00          |
| 58006    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 H   | 60,000,000   | 2020/06/04 | 2020/10/30 | 15.00          |
| 57865    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Nov 2020 E   | 60,000,000   | 2020/06/04 | 2020/11/27 | 15.00          |
| 58007    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Mar 2021 O   | 60,000,000   | 2020/06/04 | 2021/03/01 | 15.00          |
| 54138    | HK Bank - Bank of China R Bull CBBC Dec 2020 A             | 40,000,000   | 2020/06/04 | 2020/12/07 | 10.00          |
| 53964    | HK Bank - HKEX R Bear CBBC Oct 2020 E                      | 40,000,000   | 2020/06/04 | 2020/10/22 | 10.00          |
| 53906    | HK Bank - HSI R Bull CBBC Sep 2022 A                       | 100,000,000  | 2020/06/04 | 2022/09/29 | 25.00          |
| 53944    | HK Bank - HSI R Bear CBBC Oct 2020 C                       | 60,000,000   | 2020/06/04 | 2020/10/29 | 15.00          |

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| 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) |
|----------|---------------------------------------------------------------|--------------|------------|------------|----------------|
| 53959    | HK Bank - HSI R Bear CBBC Oct 2020 D                          | 80,000,000   | 2020/06/04 | 2020/10/29 | 20.00          |
| 54218    | HK Bank - SUNAC R Bull CBBC Jan 2021 A                        | 40,000,000   | 2020/06/04 | 2021/01/04 | 10.00          |
| 54057    | HK Bank - SUNAC R Bear CBBC Dec 2020 A                        | 40,000,000   | 2020/06/04 | 2020/12/14 | 10.00          |
| 54328    | HK Bank - Sunny Optical R Bull CBBC Nov 2020 C                | 40,000,000   | 2020/06/04 | 2020/11/16 | 10.00          |
| 54347    | HK Bank - Sunny Optical R Bear CBBC Oct 2020 C                | 40,000,000   | 2020/06/04 | 2020/10/19 | 10.00          |
| 53965    | HK Bank - Tencent R Bear CBBC Nov 2020 F                      | 40,000,000   | 2020/06/04 | 2020/11/02 | 10.00          |
| 54081    | HK Bank - ZTE R Bull CBBC Jan 2021 A                          | 40,000,000   | 2020/06/04 | 2021/01/04 | 10.00          |
| 57122    | Haitong Int'l Sec - HSI R Bull CBBC Sep 2022 B                | 200,000,000  | 2020/06/04 | 2022/09/29 | 50.00          |
| 57039    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 B                | 150,000,000  | 2020/06/04 | 2022/10/28 | 37.50          |
| 57043    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 D                | 200,000,000  | 2020/06/04 | 2022/10/28 | 50.00          |
| 57113    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 E                | 150,000,000  | 2020/06/04 | 2022/10/28 | 37.50          |
| 57135    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 P                | 300,000,000  | 2020/06/04 | 2023/03/30 | 75.00          |
| 57103    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 P                | 200,000,000  | 2020/06/04 | 2020/09/29 | 50.00          |
| 57058    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 N                | 150,000,000  | 2020/06/04 | 2020/10/29 | 37.50          |
| 57107    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 C                | 150,000,000  | 2020/06/04 | 2020/12/30 | 37.50          |
| 57088    | Haitong Int'l Sec - HSI R Bear CBBC Feb 2021 A                | 200,000,000  | 2020/06/04 | 2021/02/25 | 50.00          |
| 57165    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Nov 2020 C   | 80,000,000   | 2020/06/04 | 2020/11/27 | 22.56          |
| 57142    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 V            | 60,000,000   | 2020/06/04 | 2020/11/27 | 15.00          |
| 57150    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 W            | 60,000,000   | 2020/06/04 | 2020/11/27 | 15.00          |
| 57038    | J P Morgan SP BV - HSI R Bull CBBC Mar 2022 I                 | 200,000,000  | 2020/06/04 | 2022/03/30 | 50.00          |
| 56897    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 R                 | 200,000,000  | 2020/06/04 | 2023/01/30 | 50.00          |
| 55084    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 Y                 | 200,000,000  | 2020/06/04 | 2023/01/30 | 50.00          |
| 55623    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 Z                 | 200,000,000  | 2020/06/04 | 2023/01/30 | 50.00          |
| 55038    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 M                 | 200,000,000  | 2020/06/04 | 2023/02/27 | 50.00          |
| 55474    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 N                 | 240,000,000  | 2020/06/04 | 2023/02/27 | 60.00          |
| 56960    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 V                 | 200,000,000  | 2020/06/04 | 2023/04/27 | 50.00          |
| 55667    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 D                 | 200,000,000  | 2020/06/04 | 2021/01/28 | 50.00          |
| 55713    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 A                 | 200,000,000  | 2020/06/04 | 2021/02/25 | 50.00          |
| 55898    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 B                 | 240,000,000  | 2020/06/04 | 2021/02/25 | 60.00          |
| 56520    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 C                 | 240,000,000  | 2020/06/04 | 2021/02/25 | 60.00          |
| 56696    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 D                 | 200,000,000  | 2020/06/04 | 2021/02/25 | 50.00          |
| 56810    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 E                 | 200,000,000  | 2020/06/04 | 2021/02/25 | 50.00          |
| 56029    | J P Morgan SP BV - Tencent R Bear CBBC Nov 2020 F             | 50,000,000   | 2020/06/04 | 2020/11/20 | 12.50          |
| 55901    | J P Morgan SP BV - Tencent R Bear CBBC Dec 2020 B             | 50,000,000   | 2020/06/04 | 2020/12/18 | 12.50          |
| 57326    | Morgan Stanley Asia Products - HSI R Bull CBBC Mar 2023 E     | 150,000,000  | 2020/06/04 | 2023/03/30 | 37.50          |
| 54970    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 C     | 150,000,000  | 2020/06/04 | 2020/09/29 | 37.50          |
| 57331    | Morgan Stanley Asia Products - Tencent R Bull CBBC Dec 2020 D | 40,000,000   | 2020/06/04 | 2020/12/07 | 10.00          |
| 57470    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 T              | 60,000,000   | 2020/06/04 | 2020/12/30 | 15.00          |
| 57605    | SG Issuer - Alibaba Group R Bear CBBC Nov 2020 Z              | 60,000,000   | 2020/06/04 | 2020/11/27 | 15.00          |
| 57472    | SG Issuer - China Mobile R Bear CBBC Jan 2021 A               | 100,000,000  | 2020/06/04 | 2021/01/28 | 25.00          |
| 57486    | SG Issuer - HKEX R Bull CBBC Dec 2020 J                       | 50,000,000   | 2020/06/04 | 2020/12/31 | 12.50          |
| 57488    | SG Issuer - HKEX R Bull CBBC Jan 2021 C                       | 50,000,000   | 2020/06/04 | 2021/01/28 | 12.50          |
| 57653    | SG Issuer - HKEX R Bear CBBC Jan 2021 H                       | 50,000,000   | 2020/06/04 | 2021/01/28 | 12.50          |
| 57496    | SG Issuer - HSBC R Bear CBBC Jan 2021 B                       | 100,000,000  | 2020/06/04 | 2021/01/28 | 25.00          |
| 57579    | SG Issuer - HSI R Bull CBBC Apr 2023 C                        | 250,000,000  | 2020/06/04 | 2023/04/27 | 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) |
|----------|------------------------------------------------------|--------------|------------|------------|----------------|
| 57764    | SG Issuer - HSI R Bull CBBC Apr 2023 D               | 250,000,000  | 2020/06/04 | 2023/04/27 | 62.50          |
| 57583    | SG Issuer - HSI R Bull CBBC May 2023 E               | 250,000,000  | 2020/06/04 | 2023/05/30 | 62.50          |
| 57787    | SG Issuer - HSI R Bull CBBC May 2023 G               | 250,000,000  | 2020/06/04 | 2023/05/30 | 62.50          |
| 57596    | SG Issuer - HSI R Bull CBBC Jun 2023 J               | 250,000,000  | 2020/06/04 | 2023/06/29 | 62.50          |
| 57790    | SG Issuer - HSI R Bull CBBC Jun 2023 K               | 250,000,000  | 2020/06/04 | 2023/06/29 | 62.50          |
| 57835    | SG Issuer - HSI R Bull CBBC Jun 2023 L               | 500,000,000  | 2020/06/04 | 2023/06/29 | 125.00         |
| 57699    | SG Issuer - HSI R Bear CBBC Jan 2021 I               | 250,000,000  | 2020/06/04 | 2021/01/28 | 62.50          |
| 57712    | SG Issuer - HSI R Bear CBBC Jan 2021 J               | 250,000,000  | 2020/06/04 | 2021/01/28 | 62.50          |
| 57704    | SG Issuer - HSI R Bear CBBC Feb 2021 T               | 500,000,000  | 2020/06/04 | 2021/02/25 | 125.00         |
| 57705    | SG Issuer - HSI R Bear CBBC Feb 2021 U               | 250,000,000  | 2020/06/04 | 2021/02/25 | 62.50          |
| 57725    | SG Issuer - HSI R Bear CBBC Feb 2021 V               | 250,000,000  | 2020/06/04 | 2021/02/25 | 62.50          |
| 57731    | SG Issuer - HSI R Bear CBBC Mar 2021 C               | 250,000,000  | 2020/06/04 | 2021/03/30 | 62.50          |
| 57655    | SG Issuer - Link REIT R Bull CBBC Jan 2021 C         | 60,000,000   | 2020/06/04 | 2021/01/28 | 15.00          |
| 57673    | SG Issuer - Link REIT R Bull CBBC Mar 2021 A         | 60,000,000   | 2020/06/04 | 2021/03/30 | 15.00          |
| 57509    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 G  | 100,000,000  | 2020/06/04 | 2020/12/31 | 25.00          |
| 57842    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 Q  | 100,000,000  | 2020/06/04 | 2020/12/31 | 25.00          |
| 57514    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 G  | 100,000,000  | 2020/06/04 | 2021/01/28 | 25.00          |
| 57848    | SG Issuer - SMIC R Bull CBBC Feb 2021 H              | 120,000,000  | 2020/06/04 | 2021/02/25 | 30.00          |
| 57532    | SG Issuer - Tencent R Bull CBBC Nov 2020 R           | 80,000,000   | 2020/06/04 | 2020/11/30 | 20.00          |
| 57552    | SG Issuer - Tencent R Bull CBBC Jan 2021 E           | 80,000,000   | 2020/06/04 | 2021/01/28 | 20.00          |
| 57697    | SG Issuer - Tencent R Bull CBBC Jan 2021 F           | 80,000,000   | 2020/06/04 | 2021/01/28 | 20.00          |
| 57691    | SG Issuer - Tencent R Bear CBBC Dec 2020 T           | 80,000,000   | 2020/06/04 | 2020/12/30 | 20.00          |
| 57851    | SG Issuer - Tencent R Bear CBBC Jan 2021 S           | 80,000,000   | 2020/06/04 | 2021/01/28 | 20.00          |
| 57569    | SG Issuer - ZTE R Bull CBBC Dec 2020 B               | 60,000,000   | 2020/06/04 | 2020/12/30 | 15.00          |
| 58049    | UBS AG - Alibaba Group R Bull CBBC Mar 2021 D        | 80,000,000   | 2020/06/04 | 2021/03/08 | 20.00          |
| 58112    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 G        | 80,000,000   | 2020/06/04 | 2021/02/01 | 20.00          |
| 58064    | UBS AG - HSI R Bull CBBC Oct 2022 J                  | 200,000,000  | 2020/06/04 | 2022/10/28 | 50.00          |
| 58008    | UBS AG - HSI R Bull CBBC Oct 2022 K                  | 200,000,000  | 2020/06/04 | 2022/10/28 | 50.00          |
| 58027    | UBS AG - HSI R Bull CBBC Oct 2022 N                  | 200,000,000  | 2020/06/04 | 2022/10/28 | 50.00          |
| 58065    | UBS AG - HSI R Bull CBBC Oct 2022 S                  | 200,000,000  | 2020/06/04 | 2022/10/28 | 50.00          |
| 58033    | UBS AG - HSI R Bull CBBC Oct 2022 U                  | 200,000,000  | 2020/06/04 | 2022/10/28 | 50.00          |
| 58036    | UBS AG - HSI R Bull CBBC Oct 2022 W                  | 200,000,000  | 2020/06/04 | 2022/10/28 | 50.00          |
| 58050    | UBS AG - HSI R Bear CBBC Nov 2020 B                  | 200,000,000  | 2020/06/04 | 2020/11/27 | 50.00          |
| 58054    | UBS AG - HSI R Bear CBBC Nov 2020 S                  | 200,000,000  | 2020/06/04 | 2020/11/27 | 50.00          |
| 58057    | UBS AG - HSI R Bear CBBC Nov 2020 T                  | 200,000,000  | 2020/06/04 | 2020/11/27 | 50.00          |
| 58062    | UBS AG - HSI R Bear CBBC Nov 2020 U                  | 200,000,000  | 2020/06/04 | 2020/11/27 | 50.00          |
| 58069    | UBS AG - SMIC R Bull CBBC Jun 2021 B                 | 100,000,000  | 2020/06/04 | 2021/06/30 | 25.00          |
| 58078    | UBS AG - SMIC R Bear CBBC Jun 2021 A                 | 100,000,000  | 2020/06/04 | 2021/06/30 | 25.00          |
| 58041    | UBS AG - Tencent R Bull CBBC Mar 2021 I              | 40,000,000   | 2020/06/04 | 2021/03/08 | 10.00          |
| 58045    | UBS AG - Tencent R Bull CBBC Mar 2021 J              | 40,000,000   | 2020/06/04 | 2021/03/02 | 10.00          |
| 58091    | UBS AG - Tencent R Bear CBBC Feb 2021 G              | 40,000,000   | 2020/06/04 | 2021/02/01 | 10.00          |
| 57428    | Bank Vontobel - Alibaba Group R Bear CBBC Jan 2021 B | 40,000,000   | 2020/06/04 | 2021/01/22 | 10.00          |
| 57465    | Bank Vontobel - China Life R Bull CBBC Apr 2021 A    | 80,000,000   | 2020/06/04 | 2021/04/23 | 20.00          |
| 57340    | Bank Vontobel - HSI R Bull CBBC Dec 2022 P           | 80,000,000   | 2020/06/04 | 2022/12/29 | 20.00          |
| 57370    | Bank Vontobel - HSI R Bull CBBC Dec 2022 Q           | 80,000,000   | 2020/06/04 | 2022/12/29 | 20.00          |

# 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 57409    | Bank Vontobel - HSI R Bull CBBC Dec 2022 R                 | 80,000,000   | 2020/06/04 | 2022/12/29 | 20.00          |
| 57358    | Bank Vontobel - HSI R Bear CBBC Dec 2020 S                 | 80,000,000   | 2020/06/04 | 2020/12/30 | 20.00          |
| 57367    | Bank Vontobel - HSI R Bear CBBC Dec 2020 T                 | 80,000,000   | 2020/06/04 | 2020/12/30 | 20.00          |
| 57448    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 N    | 60,000,000   | 2020/06/04 | 2021/01/22 | 15.00          |
| 57454    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 F    | 60,000,000   | 2020/06/04 | 2021/01/22 | 15.00          |
| 57462    | Bank Vontobel - Tencent R Bull CBBC Jan 2021 F             | 40,000,000   | 2020/06/04 | 2021/01/22 | 10.00          |
| 57453    | Bank Vontobel - Tencent R Bear CBBC Jan 2021 G             | 40,000,000   | 2020/06/04 | 2021/01/22 | 10.00          |
| 58942    | BOCI Asia Ltd. - Geely Auto R Bull CBBC Dec 2020 C         | 40,000,000   | 2020/06/05 | 2020/12/31 | 10.00          |
| 58940    | BOCI Asia Ltd. - HSBC R Bear CBBC Dec 2020 B               | 40,000,000   | 2020/06/05 | 2020/12/31 | 10.00          |
| 58958    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 J                | 150,000,000  | 2020/06/05 | 2020/10/29 | 37.50          |
| 58945    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 K            | 40,000,000   | 2020/06/05 | 2020/12/31 | 11.60          |
| 58954    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 D            | 40,000,000   | 2020/06/05 | 2020/12/31 | 10.00          |
| 58943    | BOCI Asia Ltd. - Xiaomi R Bear CBBC Dec 2020 B             | 40,000,000   | 2020/06/05 | 2020/12/31 | 10.00          |
| 58215    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 A     | 190,000,000  | 2020/06/05 | 2022/12/29 | 47.50          |
| 58220    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 U     | 250,000,000  | 2020/06/05 | 2021/01/28 | 62.50          |
| 58235    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 V     | 250,000,000  | 2020/06/05 | 2021/01/28 | 62.50          |
| 58141    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 M | 50,000,000   | 2020/06/05 | 2020/11/27 | 12.50          |
| 58114    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 M | 50,000,000   | 2020/06/05 | 2020/12/30 | 12.50          |
| 58254    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 N | 50,000,000   | 2020/06/05 | 2020/11/27 | 12.50          |
| 58557    | Credit Suisse AG - AIA R Bear CBBC Oct 2020 B              | 70,000,000   | 2020/06/05 | 2020/10/29 | 17.50          |
| 58510    | Credit Suisse AG - Geely Auto R Bull CBBC Jul 2021 B       | 100,000,000  | 2020/06/05 | 2021/07/29 | 25.00          |
| 58512    | Credit Suisse AG - Geely Auto R Bull CBBC Jul 2021 C       | 100,000,000  | 2020/06/05 | 2021/07/29 | 25.00          |
| 58513    | Credit Suisse AG - Geely Auto R Bull CBBC Sep 2021 A       | 100,000,000  | 2020/06/05 | 2021/09/29 | 25.00          |
| 58509    | Credit Suisse AG - HSI R Bull CBBC Dec 2022 H              | 200,000,000  | 2020/06/05 | 2022/12/29 | 50.00          |
| 58489    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 D              | 200,000,000  | 2020/06/05 | 2023/01/30 | 50.00          |
| 58508    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 G              | 200,000,000  | 2020/06/05 | 2023/01/30 | 50.00          |
| 58524    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 C              | 200,000,000  | 2020/06/05 | 2023/02/27 | 50.00          |
| 58517    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 Z              | 200,000,000  | 2020/06/05 | 2023/02/27 | 50.00          |
| 58541    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 A              | 200,000,000  | 2020/06/05 | 2020/12/30 | 50.00          |
| 58525    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 K              | 200,000,000  | 2020/06/05 | 2021/01/28 | 50.00          |
| 58538    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 L              | 200,000,000  | 2020/06/05 | 2021/01/28 | 50.00          |
| 58960    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 E       | 160,000,000  | 2020/06/05 | 2023/06/29 | 40.00          |
| 58989    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 F       | 160,000,000  | 2020/06/05 | 2023/06/29 | 40.00          |
| 59008    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 G       | 160,000,000  | 2020/06/05 | 2023/06/29 | 40.00          |
| 59023    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 H       | 160,000,000  | 2020/06/05 | 2023/06/29 | 40.00          |
| 59028    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 I       | 160,000,000  | 2020/06/05 | 2023/06/29 | 40.00          |
| 59035    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 J       | 160,000,000  | 2020/06/05 | 2023/06/29 | 40.00          |
| 58990    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 B       | 160,000,000  | 2020/06/05 | 2021/02/25 | 40.00          |
| 58997    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 C       | 160,000,000  | 2020/06/05 | 2021/02/25 | 40.00          |
| 59002    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 D       | 160,000,000  | 2020/06/05 | 2021/02/25 | 40.00          |
| 59042    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Feb 2021 I   | 60,000,000   | 2020/06/05 | 2021/02/25 | 15.00          |
| 59038    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Jun 2021 B   | 60,000,000   | 2020/06/05 | 2021/06/01 | 15.00          |
| 59043    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 I   | 60,000,000   | 2020/06/05 | 2020/10/30 | 15.00          |
| 59056    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Oct 2020 G    | 60,000,000   | 2020/06/05 | 2020/10/30 | 15.00          |
| 58152    | HK Bank - Geely Auto R Bull CBBC Nov 2020 B                | 40,000,000   | 2020/06/05 | 2020/11/02 | 10.00          |



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| 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 58166    | HK Bank - HKEX R Bull CBBC Nov 2020 H                        | 40,000,000   | 2020/06/05 | 2020/11/19 | 10.00          |
| 58153    | HK Bank - HSI R Bull CBBC Sep 2022 C                         | 80,000,000   | 2020/06/05 | 2022/09/29 | 20.00          |
| 58165    | HK Bank - HSI R Bear CBBC Oct 2020 E                         | 60,000,000   | 2020/06/05 | 2020/10/29 | 15.00          |
| 58179    | HK Bank - Meituan Dianping R Bull CBBC Nov 2020 F            | 40,000,000   | 2020/06/05 | 2020/11/19 | 10.00          |
| 58177    | HK Bank - Meituan Dianping R Bear CBBC Jan 2021 C            | 100,000,000  | 2020/06/05 | 2021/01/18 | 25.00          |
| 58164    | HK Bank - Tencent R Bull CBBC Oct 2020 L                     | 40,000,000   | 2020/06/05 | 2020/10/22 | 10.00          |
| 58916    | Haitong Int'l Sec - China Life R Bear CBBC Jan 2021 A        | 80,000,000   | 2020/06/05 | 2021/01/28 | 20.00          |
| 58892    | Haitong Int'l Sec - HSI R Bull CBBC Sep 2022 C               | 200,000,000  | 2020/06/05 | 2022/09/29 | 50.00          |
| 58894    | Haitong Int'l Sec - HSI R Bull CBBC Sep 2022 D               | 200,000,000  | 2020/06/05 | 2022/09/29 | 50.00          |
| 58895    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 Q               | 200,000,000  | 2020/06/05 | 2023/03/30 | 50.00          |
| 58898    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 H               | 300,000,000  | 2020/06/05 | 2023/04/27 | 75.00          |
| 58905    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 D               | 150,000,000  | 2020/06/05 | 2020/12/30 | 37.50          |
| 58900    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 V               | 200,000,000  | 2020/06/05 | 2021/01/28 | 50.00          |
| 58909    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 W               | 150,000,000  | 2020/06/05 | 2021/01/28 | 37.50          |
| 58912    | Haitong Int'l Sec - ICBC R Bull CBBC Aug 2021 A              | 60,000,000   | 2020/06/05 | 2021/08/05 | 15.00          |
| 58921    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Dec 2020 G  | 60,000,000   | 2020/06/05 | 2020/12/30 | 15.00          |
| 58924    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Feb 2022 B  | 60,000,000   | 2020/06/05 | 2022/02/25 | 16.32          |
| 58910    | Haitong Int'l Sec - SUNAC R Bull CBBC Mar 2021 A             | 60,000,000   | 2020/06/05 | 2021/03/30 | 15.00          |
| 58463    | J P Morgan SP BV - HKEX R Bear CBBC Dec 2020 B               | 150,000,000  | 2020/06/05 | 2020/12/18 | 37.50          |
| 58342    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 V                | 200,000,000  | 2020/06/05 | 2023/01/30 | 50.00          |
| 58334    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 P                | 200,000,000  | 2020/06/05 | 2023/02/27 | 50.00          |
| 58350    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Q                | 200,000,000  | 2020/06/05 | 2023/02/27 | 50.00          |
| 58408    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 H                | 200,000,000  | 2020/06/05 | 2023/03/30 | 50.00          |
| 58355    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 X                | 200,000,000  | 2020/06/05 | 2023/03/30 | 50.00          |
| 58337    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 W                | 200,000,000  | 2020/06/05 | 2023/04/27 | 50.00          |
| 58378    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 X                | 200,000,000  | 2020/06/05 | 2023/04/27 | 50.00          |
| 58326    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 K                | 200,000,000  | 2020/06/05 | 2023/09/28 | 50.00          |
| 58367    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 L                | 200,000,000  | 2020/06/05 | 2023/09/28 | 50.00          |
| 58381    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 M                | 200,000,000  | 2020/06/05 | 2023/09/28 | 50.00          |
| 58467    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 H                | 200,000,000  | 2020/06/05 | 2021/01/28 | 50.00          |
| 58418    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 F                | 200,000,000  | 2020/06/05 | 2021/02/25 | 50.00          |
| 58427    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 G                | 200,000,000  | 2020/06/05 | 2021/02/25 | 50.00          |
| 58422    | J P Morgan SP BV - HSI R Bear CBBC Apr 2021 A                | 200,000,000  | 2020/06/05 | 2021/04/29 | 50.00          |
| 58437    | J P Morgan SP BV - HSI R Bear CBBC Apr 2021 B                | 200,000,000  | 2020/06/05 | 2021/04/29 | 50.00          |
| 58444    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Dec 2020 D   | 80,000,000   | 2020/06/05 | 2020/12/18 | 20.00          |
| 58453    | J P Morgan SP BV - Tencent R Bear CBBC Dec 2020 C            | 50,000,000   | 2020/06/05 | 2020/12/11 | 12.50          |
| 58470    | Morgan Stanley Asia Products - Alibaba R Bull CBBC Dec 2020G | 40,000,000   | 2020/06/05 | 2020/12/17 | 10.00          |
| 58488    | Morgan Stanley Asia Products - HSI R Bull CBBC Mar 2023 F    | 150,000,000  | 2020/06/05 | 2023/03/30 | 37.50          |
| 58481    | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 I    | 150,000,000  | 2020/06/05 | 2020/12/30 | 37.50          |
| 58482    | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 J    | 150,000,000  | 2020/06/05 | 2020/12/30 | 37.50          |
| 58480    | Morgan Stanley Asia Products - Meituan R Bull CBBC Dec 2020D | 40,000,000   | 2020/06/05 | 2020/12/10 | 10.00          |
| 58475    | Morgan Stanley Asia Products - Meituan R Bear CBBC Nov 2020C | 40,000,000   | 2020/06/05 | 2020/11/30 | 10.00          |
| 58472    | Morgan Stanley Asia Products - Meituan R Bear CBBC Feb 2021A | 40,000,000   | 2020/06/05 | 2021/02/22 | 13.40          |
| 58608    | SG Issuer - AAC Tech R Bear CBBC Dec 2020 A                  | 100,000,000  | 2020/06/05 | 2020/12/30 | 25.00          |
| 58571    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 L             | 60,000,000   | 2020/06/05 | 2021/01/28 | 15.00          |

# 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) |
|----------|-----------------------------------------------------|--------------|------------|------------|----------------|
| 58576    | SG Issuer - Geely Auto R Bull CBBC Jan 2021 B       | 40,000,000   | 2020/06/05 | 2021/01/29 | 10.00          |
| 58667    | SG Issuer - HSI R Bull CBBC Apr 2023 K              | 250,000,000  | 2020/06/05 | 2023/04/27 | 62.50          |
| 58558    | SG Issuer - HSI R Bull CBBC May 2023 H              | 250,000,000  | 2020/06/05 | 2023/05/30 | 62.50          |
| 58566    | SG Issuer - HSI R Bull CBBC May 2023 M              | 500,000,000  | 2020/06/05 | 2023/05/30 | 125.00         |
| 58668    | SG Issuer - HSI R Bull CBBC May 2023 P              | 250,000,000  | 2020/06/05 | 2023/05/30 | 62.50          |
| 58669    | SG Issuer - HSI R Bull CBBC May 2023 Q              | 250,000,000  | 2020/06/05 | 2023/05/30 | 62.50          |
| 58567    | SG Issuer - HSI R Bull CBBC Jun 2023 M              | 250,000,000  | 2020/06/05 | 2023/06/29 | 62.50          |
| 58658    | SG Issuer - HSI R Bull CBBC Jun 2023 N              | 250,000,000  | 2020/06/05 | 2023/06/29 | 62.50          |
| 58662    | SG Issuer - HSI R Bear CBBC Dec 2020 U              | 250,000,000  | 2020/06/05 | 2020/12/30 | 62.50          |
| 58663    | SG Issuer - HSI R Bear CBBC Jan 2021 M              | 250,000,000  | 2020/06/05 | 2021/01/28 | 62.50          |
| 58665    | SG Issuer - HSI R Bear CBBC Jan 2021 N              | 250,000,000  | 2020/06/05 | 2021/01/28 | 62.50          |
| 58666    | SG Issuer - HSI R Bear CBBC Feb 2021 W              | 250,000,000  | 2020/06/05 | 2021/02/25 | 62.50          |
| 58676    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 R | 100,000,000  | 2020/06/05 | 2020/12/31 | 25.00          |
| 58577    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 P | 100,000,000  | 2020/06/05 | 2020/12/30 | 25.00          |
| 58685    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 H | 100,000,000  | 2020/06/05 | 2021/01/29 | 32.00          |
| 58687    | SG Issuer - Meituan Dianping R Bear CBBC Apr 2021 B | 500,000,000  | 2020/06/05 | 2021/04/29 | 125.00         |
| 58705    | SG Issuer - SMIC R Bull CBBC Apr 2021 C             | 120,000,000  | 2020/06/05 | 2021/04/29 | 30.00          |
| 58619    | SG Issuer - Tencent R Bull CBBC Sep 2020 W          | 80,000,000   | 2020/06/05 | 2020/09/30 | 20.00          |
| 58623    | SG Issuer - Tencent R Bull CBBC Dec 2020 N          | 80,000,000   | 2020/06/05 | 2020/12/30 | 20.00          |
| 58625    | SG Issuer - Tencent R Bull CBBC Dec 2020 P          | 80,000,000   | 2020/06/05 | 2020/12/31 | 20.00          |
| 58631    | SG Issuer - Tencent R Bull CBBC Feb 2021 C          | 80,000,000   | 2020/06/05 | 2021/02/25 | 20.00          |
| 58636    | SG Issuer - Tencent R Bear CBBC Feb 2021 V          | 80,000,000   | 2020/06/05 | 2021/02/25 | 20.00          |
| 58607    | SG Issuer - Xiaomi R Bear CBBC Nov 2020 E           | 60,000,000   | 2020/06/05 | 2020/11/27 | 15.00          |
| 58831    | UBS AG - Alibaba Group R Bear CBBC May 2021 A       | 400,000,000  | 2020/06/05 | 2021/05/31 | 100.00         |
| 58758    | UBS AG - Geely Auto R Bear CBBC Dec 2020 E          | 40,000,000   | 2020/06/05 | 2020/12/30 | 10.00          |
| 58855    | UBS AG - HSI R Bull CBBC Dec 2022 Q                 | 200,000,000  | 2020/06/05 | 2022/12/29 | 50.00          |
| 58707    | UBS AG - HSI R Bull CBBC Mar 2023 S                 | 200,000,000  | 2020/06/05 | 2023/03/30 | 50.00          |
| 58869    | UBS AG - HSI R Bull CBBC Mar 2023 T                 | 200,000,000  | 2020/06/05 | 2023/03/30 | 50.00          |
| 58874    | UBS AG - HSI R Bull CBBC Mar 2023 U                 | 200,000,000  | 2020/06/05 | 2023/03/30 | 50.00          |
| 58871    | UBS AG - HSI R Bull CBBC Mar 2023 Z                 | 200,000,000  | 2020/06/05 | 2023/03/30 | 50.00          |
| 58717    | UBS AG - HSI R Bear CBBC Sep 2020 Y                 | 200,000,000  | 2020/06/05 | 2020/09/29 | 50.00          |
| 58755    | UBS AG - HSI R Bear CBBC Jan 2021 A                 | 200,000,000  | 2020/06/05 | 2021/01/28 | 50.00          |
| 58846    | UBS AG - HSI R Bear CBBC Jan 2021 B                 | 200,000,000  | 2020/06/05 | 2021/01/28 | 50.00          |
| 58847    | UBS AG - HSI R Bear CBBC Jan 2021 C                 | 200,000,000  | 2020/06/05 | 2021/01/28 | 50.00          |
| 58746    | UBS AG - HSI R Bear CBBC Jan 2021 Z                 | 200,000,000  | 2020/06/05 | 2021/01/28 | 50.00          |
| 58805    | UBS AG - Meituan Dianping R Bull CBBC Mar 2021 C    | 40,000,000   | 2020/06/05 | 2021/03/08 | 10.00          |
| 58825    | UBS AG - Meituan Dianping R Bull CBBC Mar 2021 D    | 40,000,000   | 2020/06/05 | 2021/03/09 | 10.00          |
| 58807    | UBS AG - Meituan Dianping R Bull CBBC Sep 2021 A    | 150,000,000  | 2020/06/05 | 2021/09/30 | 37.50          |
| 58720    | UBS AG - Meituan Dianping R Bear CBBC Jan 2021 F    | 50,000,000   | 2020/06/05 | 2021/01/08 | 12.50          |
| 58830    | UBS AG - Meituan Dianping R Bear CBBC May 2021 B    | 150,000,000  | 2020/06/05 | 2021/05/31 | 37.50          |
| 58771    | UBS AG - Tencent R Bull CBBC Dec 2020 G             | 40,000,000   | 2020/06/05 | 2020/12/30 | 10.00          |
| 58774    | UBS AG - Tencent R Bear CBBC Dec 2020 O             | 40,000,000   | 2020/06/05 | 2020/12/30 | 10.00          |
| 58799    | UBS AG - Xiaomi R Bull CBBC Mar 2021 C              | 60,000,000   | 2020/06/05 | 2021/03/01 | 15.00          |
| 58803    | UBS AG - Xiaomi R Bear CBBC Jan 2021 E              | 60,000,000   | 2020/06/05 | 2021/01/08 | 15.00          |
| 58777    | UBS AG - ZTE R Bull CBBC Feb 2021 A                 | 100,000,000  | 2020/06/05 | 2021/02/26 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 58786    | UBS AG - ZTE R Bear CBBC Feb 2021 A                        | 100,000,000  | 2020/06/05 | 2021/02/26 | 25.00          |
| 58262    | Bank Vontobel - Geely Auto R Bull CBBC Feb 2021 A          | 40,000,000   | 2020/06/05 | 2021/02/19 | 10.00          |
| 58286    | Bank Vontobel - Geely Auto R Bear CBBC Jan 2021 B          | 40,000,000   | 2020/06/05 | 2021/01/15 | 10.00          |
| 58298    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 O    | 60,000,000   | 2020/06/05 | 2021/01/15 | 15.00          |
| 58287    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 F    | 60,000,000   | 2020/06/05 | 2021/02/19 | 15.00          |
| 58281    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 G    | 60,000,000   | 2020/06/05 | 2021/01/15 | 15.00          |
| 59285    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 Q      | 60,000,000   | 2020/06/08 | 2020/12/30 | 15.00          |
| 59293    | BOCI Asia Ltd. - HKEX R Bull CBBC Dec 2020 B               | 40,000,000   | 2020/06/08 | 2020/12/30 | 10.00          |
| 59295    | BOCI Asia Ltd. - HKEX R Bear CBBC Dec 2020 D               | 40,000,000   | 2020/06/08 | 2020/12/30 | 12.00          |
| 59275    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 E                | 150,000,000  | 2020/06/08 | 2023/01/30 | 37.50          |
| 59276    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 I                | 150,000,000  | 2020/06/08 | 2023/01/30 | 37.50          |
| 59277    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 N                | 150,000,000  | 2020/06/08 | 2020/10/29 | 37.50          |
| 59299    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 R   | 40,000,000   | 2020/06/08 | 2020/12/30 | 10.00          |
| 59300    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 M   | 40,000,000   | 2020/06/08 | 2020/12/30 | 10.00          |
| 59302    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 N   | 40,000,000   | 2020/06/08 | 2020/12/30 | 10.00          |
| 59297    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 L            | 40,000,000   | 2020/06/08 | 2020/12/30 | 10.00          |
| 59119    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 C | 100,000,000  | 2020/06/08 | 2020/12/30 | 25.00          |
| 59110    | BNP Paribas Issuance B.V. - HSBC R Bull CBBC Mar 2021 G    | 150,000,000  | 2020/06/08 | 2021/03/30 | 37.50          |
| 59113    | BNP Paribas Issuance B.V. - HSBC R Bear CBBC Jan 2021 B    | 150,000,000  | 2020/06/08 | 2021/01/28 | 37.50          |
| 59259    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 E     | 200,000,000  | 2020/06/08 | 2022/12/29 | 50.00          |
| 59260    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 F     | 200,000,000  | 2020/06/08 | 2022/12/29 | 50.00          |
| 59264    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 G     | 200,000,000  | 2020/06/08 | 2022/12/29 | 50.00          |
| 59266    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 H     | 200,000,000  | 2020/06/08 | 2022/12/29 | 50.00          |
| 59269    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 J     | 200,000,000  | 2020/06/08 | 2022/12/29 | 50.00          |
| 59261    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 R     | 200,000,000  | 2020/06/08 | 2022/12/29 | 50.00          |
| 59270    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 S     | 200,000,000  | 2020/06/08 | 2022/12/29 | 50.00          |
| 59272    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 T     | 200,000,000  | 2020/06/08 | 2022/12/29 | 50.00          |
| 59274    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 E     | 240,000,000  | 2020/06/08 | 2020/12/30 | 60.00          |
| 59139    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 R     | 250,000,000  | 2020/06/08 | 2020/12/30 | 62.50          |
| 59137    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 W     | 250,000,000  | 2020/06/08 | 2020/12/30 | 62.50          |
| 59128    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 L     | 250,000,000  | 2020/06/08 | 2021/01/28 | 62.50          |
| 59136    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 N     | 250,000,000  | 2020/06/08 | 2021/01/28 | 62.50          |
| 59123    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 W     | 250,000,000  | 2020/06/08 | 2021/01/28 | 62.50          |
| 59125    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 X     | 250,000,000  | 2020/06/08 | 2021/01/28 | 62.50          |
| 59126    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 Y     | 250,000,000  | 2020/06/08 | 2021/01/28 | 62.50          |
| 59127    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 Z     | 250,000,000  | 2020/06/08 | 2021/01/28 | 62.50          |
| 59118    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 H | 50,000,000   | 2020/06/08 | 2020/12/30 | 12.50          |
| 59115    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 N | 50,000,000   | 2020/06/08 | 2020/11/27 | 12.50          |
| 59117    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 O | 50,000,000   | 2020/06/08 | 2020/11/27 | 12.50          |
| 59120    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 R | 50,000,000   | 2020/06/08 | 2020/11/27 | 12.50          |
| 59121    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 Q | 50,000,000   | 2020/06/08 | 2020/11/27 | 12.50          |
| 59436    | Credit Suisse AG - CC Bank R Bull CBBC Dec 2020 D          | 100,000,000  | 2020/06/08 | 2020/12/30 | 25.00          |
| 59441    | Credit Suisse AG - HKEX R Bull CBBC Oct 2020 F             | 50,000,000   | 2020/06/08 | 2020/10/29 | 12.50          |
| 59433    | Credit Suisse AG - HKEX R Bear CBBC Dec 2020 D             | 100,000,000  | 2020/06/08 | 2020/12/30 | 25.00          |
| 59449    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 A              | 200,000,000  | 2020/06/08 | 2023/01/30 | 50.00          |

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| 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 59450    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 B              | 200,000,000  | 2020/06/08 | 2023/01/30 | 50.00          |
| 59443    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 E              | 200,000,000  | 2020/06/08 | 2023/02/27 | 50.00          |
| 59447    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 F              | 200,000,000  | 2020/06/08 | 2023/02/27 | 50.00          |
| 59453    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 G              | 200,000,000  | 2020/06/08 | 2023/02/27 | 50.00          |
| 59420    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 E              | 200,000,000  | 2020/06/08 | 2020/09/29 | 50.00          |
| 59419    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 A              | 200,000,000  | 2020/06/08 | 2020/10/29 | 50.00          |
| 59422    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 F              | 200,000,000  | 2020/06/08 | 2020/10/29 | 50.00          |
| 59424    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 G              | 200,000,000  | 2020/06/08 | 2020/10/29 | 50.00          |
| 59414    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 V              | 200,000,000  | 2020/06/08 | 2020/10/29 | 50.00          |
| 59423    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 E              | 200,000,000  | 2020/06/08 | 2020/11/27 | 50.00          |
| 59405    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 M              | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59408    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 N              | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59410    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 O              | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59438    | Credit Suisse AG - ICBC R Bull CBBC Dec 2020 B             | 100,000,000  | 2020/06/08 | 2020/12/30 | 25.00          |
| 59439    | Credit Suisse AG - Meituan Dianping R Bull CBBC Oct 2020 I | 80,000,000   | 2020/06/08 | 2020/10/29 | 20.00          |
| 59440    | Credit Suisse AG - Meituan Dianping R Bull CBBC Apr 2021 B | 150,000,000  | 2020/06/08 | 2021/04/29 | 37.50          |
| 59428    | Credit Suisse AG - Meituan Dianping R Bear CBBC Jan 2021 B | 100,000,000  | 2020/06/08 | 2021/01/28 | 25.00          |
| 59431    | Credit Suisse AG - Meituan Dianping R Bear CBBC Jan 2021 C | 100,000,000  | 2020/06/08 | 2021/01/28 | 25.00          |
| 59435    | Credit Suisse AG - SMIC R Bull CBBC Mar 2021 D             | 100,000,000  | 2020/06/08 | 2021/03/30 | 25.00          |
| 59442    | Credit Suisse AG - Tencent R Bull CBBC Nov 2020 N          | 50,000,000   | 2020/06/08 | 2020/11/27 | 12.50          |
| 59583    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 C   | 60,000,000   | 2020/06/08 | 2020/10/30 | 15.00          |
| 59578    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Jun 2021 F      | 80,000,000   | 2020/06/08 | 2021/06/30 | 20.00          |
| 59582    | Goldman Sachs SP (Asia) - HKEX R Bear CBBC Jun 2021 A      | 80,000,000   | 2020/06/08 | 2021/06/30 | 20.00          |
| 59567    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 K       | 160,000,000  | 2020/06/08 | 2023/06/29 | 40.00          |
| 59590    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 L       | 160,000,000  | 2020/06/08 | 2023/06/29 | 40.00          |
| 59595    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 M       | 160,000,000  | 2020/06/08 | 2023/06/29 | 40.00          |
| 59601    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 N       | 160,000,000  | 2020/06/08 | 2023/06/29 | 40.00          |
| 59604    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 O       | 160,000,000  | 2020/06/08 | 2023/06/29 | 40.00          |
| 59608    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 P       | 160,000,000  | 2020/06/08 | 2023/06/29 | 40.00          |
| 59605    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 A       | 160,000,000  | 2020/06/08 | 2021/02/25 | 40.00          |
| 59607    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 I       | 160,000,000  | 2020/06/08 | 2021/02/25 | 40.00          |
| 59561    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 Q       | 160,000,000  | 2020/06/08 | 2021/02/25 | 40.00          |
| 59564    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 R       | 160,000,000  | 2020/06/08 | 2021/02/25 | 40.00          |
| 59566    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 S       | 160,000,000  | 2020/06/08 | 2021/02/25 | 40.00          |
| 59558    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 Y       | 160,000,000  | 2020/06/08 | 2021/02/25 | 40.00          |
| 59548    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 Y       | 160,000,000  | 2020/06/08 | 2021/04/29 | 40.00          |
| 59551    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 Z       | 160,000,000  | 2020/06/08 | 2021/04/29 | 40.00          |
| 59575    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 I   | 60,000,000   | 2020/06/08 | 2020/10/30 | 15.00          |
| 59574    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Jun 2021 C   | 60,000,000   | 2020/06/08 | 2021/06/01 | 15.00          |
| 59577    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 K   | 60,000,000   | 2020/06/08 | 2020/10/30 | 15.00          |
| 59589    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Jun 2021 A   | 80,000,000   | 2020/06/08 | 2021/06/30 | 20.00          |
| 59067    | HK Bank - AAC Tech R Bull CBBC Jan 2021 B                  | 40,000,000   | 2020/06/08 | 2021/01/25 | 10.00          |
| 59094    | HK Bank - CNOOC R Bull CBBC Oct 2020 D                     | 40,000,000   | 2020/06/08 | 2020/10/19 | 10.00          |
| 59075    | HK Bank - HKEX R Bull CBBC Nov 2020 I                      | 40,000,000   | 2020/06/08 | 2020/11/12 | 10.00          |
| 59074    | HK Bank - HKEX R Bear CBBC Dec 2020 B                      | 100,000,000  | 2020/06/08 | 2020/12/14 | 25.00          |

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| 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 59307    | HK Bank - HSI R Bull CBBC May 2022 A                        | 100,000,000  | 2020/06/08 | 2022/05/30 | 25.00          |
| 59312    | HK Bank - HSI R Bull CBBC May 2022 B                        | 100,000,000  | 2020/06/08 | 2022/05/30 | 25.00          |
| 59058    | HK Bank - HSI R Bear CBBC Oct 2020 F                        | 60,000,000   | 2020/06/08 | 2020/10/29 | 15.00          |
| 59060    | HK Bank - HSI R Bear CBBC Oct 2020 G                        | 100,000,000  | 2020/06/08 | 2020/10/29 | 25.00          |
| 59095    | HK Bank - Link REIT R Bull CBBC Nov 2020 B                  | 40,000,000   | 2020/06/08 | 2020/11/16 | 10.00          |
| 59086    | HK Bank - Meituan Dianping R Bear CBBC Dec 2020 A           | 100,000,000  | 2020/06/08 | 2020/12/21 | 25.00          |
| 59109    | HK Bank - Sands China R Bull CBBC Nov 2020 C                | 40,000,000   | 2020/06/08 | 2020/11/19 | 10.00          |
| 59084    | HK Bank - SMIC R Bull CBBC Nov 2020 C                       | 40,000,000   | 2020/06/08 | 2020/11/19 | 10.00          |
| 59093    | HK Bank - SUNAC R Bull CBBC Nov 2020 D                      | 40,000,000   | 2020/06/08 | 2020/11/16 | 10.00          |
| 59072    | HK Bank - Tencent R Bull CBBC Oct 2020 M                    | 40,000,000   | 2020/06/08 | 2020/10/19 | 10.00          |
| 59063    | HK Bank - Tencent R Bear CBBC Oct 2020 I                    | 40,000,000   | 2020/06/08 | 2020/10/19 | 10.00          |
| 59396    | Haitong Int'l Sec - HKEX R Bull CBBC Jan 2021 B             | 60,000,000   | 2020/06/08 | 2021/01/28 | 15.00          |
| 59391    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 A              | 200,000,000  | 2020/06/08 | 2023/05/30 | 50.00          |
| 59393    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 B              | 200,000,000  | 2020/06/08 | 2023/05/30 | 50.00          |
| 59395    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 C              | 300,000,000  | 2020/06/08 | 2023/05/30 | 75.00          |
| 59401    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 D              | 150,000,000  | 2020/06/08 | 2023/05/30 | 37.50          |
| 59368    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 O              | 150,000,000  | 2020/06/08 | 2020/09/29 | 37.50          |
| 59364    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 O              | 150,000,000  | 2020/06/08 | 2020/10/29 | 37.50          |
| 59375    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 P              | 150,000,000  | 2020/06/08 | 2020/10/29 | 37.50          |
| 59371    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 L              | 150,000,000  | 2020/06/08 | 2020/11/27 | 37.50          |
| 59370    | Haitong Int'l Sec - HSI R Bear CBBC Feb 2021 B              | 200,000,000  | 2020/06/08 | 2021/02/25 | 50.00          |
| 59384    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Mar 2021 A | 60,000,000   | 2020/06/08 | 2021/03/30 | 15.00          |
| 59387    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Dec 2020 F | 60,000,000   | 2020/06/08 | 2020/12/30 | 15.00          |
| 59398    | Haitong Int'l Sec - Sunny Optical R Bull CBBC Jan 2021 A    | 60,000,000   | 2020/06/08 | 2021/01/28 | 15.00          |
| 59400    | Haitong Int'l Sec - Sunny Optical R Bear CBBC Dec 2020 B    | 60,000,000   | 2020/06/08 | 2020/12/30 | 15.00          |
| 59376    | Haitong Int'l Sec - Tencent R Bear CBBC Dec 2020 K          | 60,000,000   | 2020/06/08 | 2020/12/30 | 15.00          |
| 59377    | Haitong Int'l Sec - Tencent R Bear CBBC Dec 2020 L          | 60,000,000   | 2020/06/08 | 2020/12/30 | 15.00          |
| 59328    | J P Morgan SP BV - HSCEI R Bull CBBC Dec 2021 M             | 200,000,000  | 2020/06/08 | 2021/12/30 | 50.00          |
| 59326    | J P Morgan SP BV - HSCEI R Bear CBBC Dec 2020 D             | 200,000,000  | 2020/06/08 | 2020/12/30 | 50.00          |
| 59329    | J P Morgan SP BV - HSI R Bull CBBC Jan 2023 T               | 200,000,000  | 2020/06/08 | 2023/01/30 | 50.00          |
| 59353    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 R               | 200,000,000  | 2020/06/08 | 2023/02/27 | 50.00          |
| 59355    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 B               | 200,000,000  | 2020/06/08 | 2023/03/30 | 50.00          |
| 59357    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 C               | 200,000,000  | 2020/06/08 | 2023/03/30 | 50.00          |
| 59351    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 E               | 200,000,000  | 2020/06/08 | 2023/03/30 | 50.00          |
| 59333    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 J               | 200,000,000  | 2020/06/08 | 2023/03/30 | 50.00          |
| 59350    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 N               | 200,000,000  | 2020/06/08 | 2023/09/28 | 50.00          |
| 59317    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 S               | 200,000,000  | 2020/06/08 | 2020/11/27 | 50.00          |
| 59324    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 W               | 200,000,000  | 2020/06/08 | 2020/11/27 | 50.00          |
| 59315    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 B               | 200,000,000  | 2020/06/08 | 2020/12/30 | 50.00          |
| 59316    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 D               | 200,000,000  | 2020/06/08 | 2020/12/30 | 50.00          |
| 59325    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 T               | 240,000,000  | 2020/06/08 | 2020/12/30 | 60.00          |
| 59362    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 P               | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59363    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 Q               | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59358    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 H               | 200,000,000  | 2020/06/08 | 2021/02/25 | 50.00          |
| 59336    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Jan 2021 A  | 80,000,000   | 2020/06/08 | 2021/01/15 | 20.00          |



# 主板 可收回牛熊證

| 股份代號  | 牛熊證                                                          | 上市時之發行單位    | 上市日期       | 到期日        | 集資金額<br>(百萬港元) |
|-------|--------------------------------------------------------------|-------------|------------|------------|----------------|
| 59343 | J P Morgan SP BV - Meituan Dianping R Bull CBBC Jan 2021 B   | 80,000,000  | 2020/06/08 | 2021/01/08 | 20.00          |
| 59345 | J P Morgan SP BV - Meituan Dianping R Bear CBBC Jan 2021 A   | 80,000,000  | 2020/06/08 | 2021/01/15 | 22.00          |
| 59347 | J P Morgan SP BV - Meituan Dianping R Bear CBBC Jan 2021 B   | 200,000,000 | 2020/06/08 | 2021/01/15 | 50.00          |
| 59335 | J P Morgan SP BV - Tencent R Bull CBBC Jan 2021 A            | 50,000,000  | 2020/06/08 | 2021/01/08 | 13.75          |
| 59154 | Morgan Stanley Asia Products - Ch Life R Bull CBBC Feb 2021B | 40,000,000  | 2020/06/08 | 2021/02/18 | 10.00          |
| 59164 | Morgan Stanley Asia Products - HKEX R Bull CBBC Dec 2020 C   | 40,000,000  | 2020/06/08 | 2020/12/30 | 13.60          |
| 59162 | Morgan Stanley Asia Products - HKEX R Bull CBBC Jan 2021 B   | 40,000,000  | 2020/06/08 | 2021/01/28 | 10.00          |
| 59163 | Morgan Stanley Asia Products - HKEX R Bull CBBC Jan 2021 C   | 40,000,000  | 2020/06/08 | 2021/01/22 | 10.00          |
| 59313 | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 A    | 150,000,000 | 2020/06/08 | 2023/04/27 | 37.50          |
| 59314 | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 B    | 150,000,000 | 2020/06/08 | 2023/04/27 | 37.50          |
| 59140 | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 J    | 150,000,000 | 2020/06/08 | 2020/11/27 | 37.50          |
| 59141 | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 K    | 150,000,000 | 2020/06/08 | 2020/12/30 | 37.50          |
| 59144 | Morgan Stanley Asia Products - HSI R Bear CBBC Jan 2021 A    | 150,000,000 | 2020/06/08 | 2021/01/28 | 37.50          |
| 59152 | Morgan Stanley Asia Products - Meituan R Bear CBBC Jan2021 B | 40,000,000  | 2020/06/08 | 2021/01/26 | 13.88          |
| 59170 | Morgan Stanley Asia Products - Ping An R Bull CBBC Feb2021 A | 40,000,000  | 2020/06/08 | 2021/02/03 | 10.00          |
| 59157 | Morgan Stanley Asia Products - Tencent R Bull CBBC Dec2020 E | 40,000,000  | 2020/06/08 | 2020/12/30 | 10.00          |
| 59158 | Morgan Stanley Asia Products - Tencent R Bull CBBC Jan2021 B | 40,000,000  | 2020/06/08 | 2021/01/04 | 10.00          |
| 59151 | Morgan Stanley Asia Products - Xiaomi R Bull CBBC Dec 2020 F | 40,000,000  | 2020/06/08 | 2020/12/01 | 10.00          |
| 59491 | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 U             | 60,000,000  | 2020/06/08 | 2020/12/30 | 15.00          |
| 59457 | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 N             | 60,000,000  | 2020/06/08 | 2020/12/31 | 15.00          |
| 59458 | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 M             | 60,000,000  | 2020/06/08 | 2021/01/28 | 15.00          |
| 59527 | SG Issuer - Geely Auto R Bear CBBC Dec 2020 D                | 40,000,000  | 2020/06/08 | 2020/12/31 | 10.00          |
| 59459 | SG Issuer - Galaxy Ent R Bull CBBC Nov 2020 G                | 100,000,000 | 2020/06/08 | 2020/11/30 | 25.00          |
| 59503 | SG Issuer - Galaxy Ent R Bear CBBC Feb 2021 A                | 100,000,000 | 2020/06/08 | 2021/02/25 | 25.00          |
| 59532 | SG Issuer - HKEX R Bull CBBC Dec 2020 K                      | 50,000,000  | 2020/06/08 | 2020/12/30 | 12.50          |
| 59536 | SG Issuer - HKEX R Bull CBBC Dec 2020 L                      | 50,000,000  | 2020/06/08 | 2020/12/31 | 12.50          |
| 59462 | SG Issuer - HKEX R Bear CBBC Dec 2020 K                      | 50,000,000  | 2020/06/08 | 2020/12/30 | 12.50          |
| 59463 | SG Issuer - HKEX R Bear CBBC Dec 2020 L                      | 50,000,000  | 2020/06/08 | 2020/12/30 | 12.50          |
| 59537 | SG Issuer - HKEX R Bear CBBC Jan 2021 I                      | 50,000,000  | 2020/06/08 | 2021/01/29 | 25.50          |
| 59538 | SG Issuer - HKEX R Bear CBBC Jan 2021 J                      | 200,000,000 | 2020/06/08 | 2021/01/29 | 50.00          |
| 59517 | SG Issuer - HSI R Bull CBBC Apr 2023 N                       | 250,000,000 | 2020/06/08 | 2023/04/27 | 62.50          |
| 59508 | SG Issuer - HSI R Bull CBBC May 2023 R                       | 500,000,000 | 2020/06/08 | 2023/05/30 | 125.00         |
| 59522 | SG Issuer - HSI R Bull CBBC May 2023 Y                       | 250,000,000 | 2020/06/08 | 2023/05/30 | 62.50          |
| 59523 | SG Issuer - HSI R Bull CBBC May 2023 Z                       | 250,000,000 | 2020/06/08 | 2023/05/30 | 62.50          |
| 59524 | SG Issuer - HSI R Bull CBBC Jun 2023 O                       | 250,000,000 | 2020/06/08 | 2023/06/29 | 62.50          |
| 59525 | SG Issuer - HSI R Bull CBBC Jun 2023 P                       | 250,000,000 | 2020/06/08 | 2023/06/29 | 62.50          |
| 59478 | SG Issuer - HSI R Bear CBBC Oct 2020 X                       | 250,000,000 | 2020/06/08 | 2020/10/29 | 62.50          |
| 59479 | SG Issuer - HSI R Bear CBBC Nov 2020 I                       | 250,000,000 | 2020/06/08 | 2020/11/27 | 62.50          |
| 59482 | SG Issuer - HSI R Bear CBBC Nov 2020 J                       | 250,000,000 | 2020/06/08 | 2020/11/27 | 62.50          |
| 59483 | SG Issuer - HSI R Bear CBBC Nov 2020 N                       | 500,000,000 | 2020/06/08 | 2020/11/27 | 125.00         |
| 59484 | SG Issuer - HSI R Bear CBBC Dec 2020 J                       | 250,000,000 | 2020/06/08 | 2020/12/30 | 62.50          |
| 59487 | SG Issuer - HSI R Bear CBBC Dec 2020 K                       | 250,000,000 | 2020/06/08 | 2020/12/30 | 62.50          |
| 59489 | SG Issuer - HSI R Bear CBBC Dec 2020 M                       | 250,000,000 | 2020/06/08 | 2020/12/30 | 62.50          |
| 59507 | SG Issuer - HSI R Bear CBBC Jan 2021 O                       | 250,000,000 | 2020/06/08 | 2021/01/28 | 62.50          |
| 59509 | SG Issuer - HSI R Bear CBBC Jan 2021 Q                       | 250,000,000 | 2020/06/08 | 2021/01/28 | 62.50          |



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| 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) |
|----------|-----------------------------------------------------|--------------|------------|------------|----------------|
| 59516    | SG Issuer - HSI R Bear CBBC Feb 2021 X              | 250,000,000  | 2020/06/08 | 2021/02/25 | 62.50          |
| 59539    | SG Issuer - Meituan Dianping R Bull CBBC Nov 2020 Q | 100,000,000  | 2020/06/08 | 2020/11/30 | 25.00          |
| 59546    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 G | 100,000,000  | 2020/06/08 | 2021/01/28 | 25.00          |
| 59505    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 I | 100,000,000  | 2020/06/08 | 2021/01/28 | 25.00          |
| 59540    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 J | 100,000,000  | 2020/06/08 | 2021/01/29 | 25.00          |
| 59541    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 E | 100,000,000  | 2020/06/08 | 2021/02/25 | 39.00          |
| 59464    | SG Issuer - SMIC R Bear CBBC Dec 2020 E             | 120,000,000  | 2020/06/08 | 2020/12/30 | 30.00          |
| 59542    | SG Issuer - Tencent R Bull CBBC Oct 2020 U          | 80,000,000   | 2020/06/08 | 2020/10/30 | 20.00          |
| 59544    | SG Issuer - Tencent R Bull CBBC Dec 2020 Q          | 80,000,000   | 2020/06/08 | 2020/12/30 | 20.00          |
| 59465    | SG Issuer - Tencent R Bear CBBC Jan 2021 T          | 80,000,000   | 2020/06/08 | 2021/01/28 | 20.00          |
| 59466    | SG Issuer - Tencent R Bear CBBC Feb 2021 W          | 80,000,000   | 2020/06/08 | 2021/02/25 | 20.00          |
| 59467    | SG Issuer - Tencent R Bear CBBC Feb 2021 X          | 80,000,000   | 2020/06/08 | 2021/02/26 | 20.00          |
| 59468    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 L           | 60,000,000   | 2020/06/08 | 2020/12/31 | 15.00          |
| 59192    | UBS AG - Alibaba Group R Bear CBBC Dec 2020 M       | 80,000,000   | 2020/06/08 | 2020/12/14 | 20.00          |
| 59194    | UBS AG - Alibaba Group R Bear CBBC Jan 2021 F       | 80,000,000   | 2020/06/08 | 2021/01/08 | 20.00          |
| 59223    | UBS AG - Geely Auto R Bull CBBC Jan 2021 A          | 40,000,000   | 2020/06/08 | 2021/01/28 | 10.00          |
| 59218    | UBS AG - HKEX R Bull CBBC Feb 2021 C                | 50,000,000   | 2020/06/08 | 2021/02/10 | 12.50          |
| 59219    | UBS AG - HKEX R Bull CBBC Feb 2021 D                | 200,000,000  | 2020/06/08 | 2021/02/24 | 50.00          |
| 59220    | UBS AG - HKEX R Bear CBBC Feb 2021 C                | 200,000,000  | 2020/06/08 | 2021/02/10 | 50.00          |
| 59221    | UBS AG - HSI R Bull CBBC Oct 2022 F                 | 200,000,000  | 2020/06/08 | 2022/10/28 | 50.00          |
| 59207    | UBS AG - HSI R Bull CBBC Feb 2023 A                 | 200,000,000  | 2020/06/08 | 2023/02/27 | 50.00          |
| 59208    | UBS AG - HSI R Bull CBBC Feb 2023 U                 | 400,000,000  | 2020/06/08 | 2023/02/27 | 100.00         |
| 59211    | UBS AG - HSI R Bull CBBC Feb 2023 V                 | 200,000,000  | 2020/06/08 | 2023/02/27 | 50.00          |
| 59183    | UBS AG - HSI R Bear CBBC Jan 2021 D                 | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59202    | UBS AG - HSI R Bear CBBC Jan 2021 E                 | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59175    | UBS AG - HSI R Bear CBBC Jan 2021 H                 | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59177    | UBS AG - HSI R Bear CBBC Jan 2021 J                 | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59199    | UBS AG - HSI R Bear CBBC Jan 2021 K                 | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59178    | UBS AG - HSI R Bear CBBC Jan 2021 N                 | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59182    | UBS AG - HSI R Bear CBBC Jan 2021 O                 | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59206    | UBS AG - HSI R Bear CBBC Jan 2021 U                 | 200,000,000  | 2020/06/08 | 2021/01/28 | 50.00          |
| 59224    | UBS AG - Link REIT R Bull CBBC Dec 2020 H           | 60,000,000   | 2020/06/08 | 2020/12/31 | 15.00          |
| 59195    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 C    | 50,000,000   | 2020/06/08 | 2020/12/14 | 12.50          |
| 59214    | UBS AG - Meituan Dianping R Bear CBBC Feb 2021 B    | 150,000,000  | 2020/06/08 | 2021/02/26 | 37.50          |
| 59196    | UBS AG - Meituan Dianping R Bear CBBC Mar 2021 A    | 150,000,000  | 2020/06/08 | 2021/03/31 | 37.50          |
| 59186    | UBS AG - Tencent R Bear CBBC Dec 2020 K             | 40,000,000   | 2020/06/08 | 2020/12/14 | 10.00          |
| 59213    | UBS AG - Tencent R Bear CBBC Dec 2020 P             | 40,000,000   | 2020/06/08 | 2020/12/10 | 10.00          |
| 59189    | UBS AG - Tencent R Bear CBBC Jan 2021 L             | 200,000,000  | 2020/06/08 | 2021/01/08 | 50.00          |
| 59222    | UBS AG - Xiaomi R Bull CBBC Feb 2021 D              | 60,000,000   | 2020/06/08 | 2021/02/22 | 15.00          |
| 59239    | Bank Vontobel - AIA R Bull CBBC Feb 2021 C          | 40,000,000   | 2020/06/08 | 2021/02/19 | 10.00          |
| 59242    | Bank Vontobel - CSOP A50 ETF R Bull CBBC Apr 2021 C | 40,000,000   | 2020/06/08 | 2021/04/23 | 10.00          |
| 59247    | Bank Vontobel - HKEX R Bull CBBC Feb 2021 A         | 40,000,000   | 2020/06/08 | 2021/02/05 | 10.00          |
| 59257    | Bank Vontobel - HSI R Bull CBBC Dec 2022 S          | 80,000,000   | 2020/06/08 | 2022/12/29 | 20.00          |
| 59258    | Bank Vontobel - HSI R Bull CBBC Dec 2022 T          | 80,000,000   | 2020/06/08 | 2022/12/29 | 20.00          |
| 59248    | Bank Vontobel - HSI R Bear CBBC Dec 2020 U          | 80,000,000   | 2020/06/08 | 2020/12/30 | 20.00          |

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|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 59250    | Bank Vontobel - HSI R Bear CBBC Dec 2020 V               | 80,000,000   | 2020/06/08 | 2020/12/30 | 20.00          |
| 59241    | Bank Vontobel - ICBC R Bull CBBC Feb 2021 A              | 40,000,000   | 2020/06/08 | 2021/02/19 | 10.00          |
| 59228    | Bank Vontobel - Meituan Dianping R Bull CBBC Mar 2021 C  | 60,000,000   | 2020/06/08 | 2021/03/05 | 15.00          |
| 59244    | Bank Vontobel - Meituan Dianping R Bull CBBC Mar 2021 D  | 60,000,000   | 2020/06/08 | 2021/03/05 | 15.00          |
| 59229    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 H  | 60,000,000   | 2020/06/08 | 2021/01/15 | 15.00          |
| 59233    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 I  | 60,000,000   | 2020/06/08 | 2021/01/08 | 21.60          |
| 59237    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 J  | 60,000,000   | 2020/06/08 | 2021/01/08 | 33.60          |
| 59245    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 K  | 60,000,000   | 2020/06/08 | 2021/01/08 | 15.00          |
| 59243    | Bank Vontobel - SUNAC R Bull CBBC Feb 2021 A             | 40,000,000   | 2020/06/08 | 2021/02/19 | 10.00          |
| 59225    | Bank Vontobel - Tencent R Bull CBBC Feb 2021 F           | 40,000,000   | 2020/06/08 | 2021/02/19 | 10.00          |
| 59646    | BOCI Asia Ltd. - CC Bank R Bull CBBC Nov 2020 A          | 80,000,000   | 2020/06/09 | 2020/11/30 | 20.00          |
| 59647    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 J              | 150,000,000  | 2020/06/09 | 2023/01/30 | 37.50          |
| 59654    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 P              | 150,000,000  | 2020/06/09 | 2020/10/29 | 37.50          |
| 59933    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 R   | 200,000,000  | 2020/06/09 | 2022/11/29 | 50.00          |
| 59934    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 S   | 190,000,000  | 2020/06/09 | 2022/11/29 | 47.50          |
| 59730    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 U   | 200,000,000  | 2020/06/09 | 2022/12/29 | 50.00          |
| 59729    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 A   | 250,000,000  | 2020/06/09 | 2021/01/28 | 62.50          |
| 59942    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 B   | 240,000,000  | 2020/06/09 | 2021/01/28 | 60.00          |
| 59975    | Credit Suisse AG - AIA R Bull CBBC Nov 2020 H            | 70,000,000   | 2020/06/09 | 2020/11/27 | 17.50          |
| 59957    | Credit Suisse AG - Alibaba Group R Bull CBBC Nov 2020 H  | 50,000,000   | 2020/06/09 | 2020/11/27 | 12.50          |
| 59991    | Credit Suisse AG - HKEX R Bull CBBC Nov 2020 E           | 50,000,000   | 2020/06/09 | 2020/11/27 | 12.50          |
| 59961    | Credit Suisse AG - HKEX R Bear CBBC Jan 2021 C           | 50,000,000   | 2020/06/09 | 2021/01/28 | 23.50          |
| 59988    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 E            | 200,000,000  | 2020/06/09 | 2023/01/30 | 50.00          |
| 59989    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 H            | 200,000,000  | 2020/06/09 | 2023/01/30 | 50.00          |
| 59990    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 A            | 200,000,000  | 2020/06/09 | 2023/02/27 | 50.00          |
| 59979    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 H            | 200,000,000  | 2020/06/09 | 2023/02/27 | 50.00          |
| 59982    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 I            | 200,000,000  | 2020/06/09 | 2023/02/27 | 50.00          |
| 59945    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 L            | 200,000,000  | 2020/06/09 | 2020/10/29 | 50.00          |
| 59946    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 G            | 200,000,000  | 2020/06/09 | 2020/12/30 | 50.00          |
| 59949    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 Y            | 200,000,000  | 2020/06/09 | 2020/12/30 | 50.00          |
| 59977    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 P            | 300,000,000  | 2020/06/09 | 2021/01/28 | 75.00          |
| 59978    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 Q            | 200,000,000  | 2020/06/09 | 2021/01/28 | 50.00          |
| 59976    | Credit Suisse AG - Link REIT R Bull CBBC Dec 2020 H      | 50,000,000   | 2020/06/09 | 2020/12/30 | 12.50          |
| 59972    | Credit Suisse AG - SMIC R Bull CBBC Apr 2021 A           | 100,000,000  | 2020/06/09 | 2021/04/29 | 25.00          |
| 59974    | Credit Suisse AG - SMIC R Bull CBBC Apr 2021 B           | 100,000,000  | 2020/06/09 | 2021/04/29 | 25.00          |
| 59965    | Credit Suisse AG - Tencent R Bull CBBC Dec 2020 I        | 50,000,000   | 2020/06/09 | 2020/12/30 | 12.50          |
| 59967    | Credit Suisse AG - ZTE R Bull CBBC Jan 2021 A            | 50,000,000   | 2020/06/09 | 2021/01/28 | 12.50          |
| 59998    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 D | 60,000,000   | 2020/06/09 | 2020/10/30 | 15.00          |
| 60041    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Jun 2021 G    | 80,000,000   | 2020/06/09 | 2021/06/30 | 20.00          |
| 59997    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 Q     | 160,000,000  | 2020/06/09 | 2023/06/29 | 40.00          |
| 60065    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 R     | 160,000,000  | 2020/06/09 | 2023/06/29 | 40.00          |
| 60067    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 S     | 160,000,000  | 2020/06/09 | 2023/06/29 | 40.00          |
| 60071    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 T     | 160,000,000  | 2020/06/09 | 2023/06/29 | 40.00          |
| 60105    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 U     | 160,000,000  | 2020/06/09 | 2023/06/29 | 40.00          |
| 59995    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 A     | 160,000,000  | 2020/06/09 | 2021/04/29 | 40.00          |

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|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 59996    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 B     | 160,000,000  | 2020/06/09 | 2021/04/29 | 40.00          |
| 60108    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 C     | 160,000,000  | 2020/06/09 | 2021/04/29 | 40.00          |
| 60134    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 D     | 160,000,000  | 2020/06/09 | 2021/04/29 | 40.00          |
| 60143    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 E     | 160,000,000  | 2020/06/09 | 2021/04/29 | 40.00          |
| 60003    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 S | 60,000,000   | 2020/06/09 | 2020/10/30 | 15.00          |
| 60061    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 U | 60,000,000   | 2020/06/09 | 2020/10/30 | 15.00          |
| 60044    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Jun 2021 D | 60,000,000   | 2020/06/09 | 2021/06/30 | 15.00          |
| 60048    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Oct 2020 H  | 60,000,000   | 2020/06/09 | 2020/10/30 | 15.00          |
| 59635    | HK Bank - AIA R Bull CBBC Nov 2020 H                     | 40,000,000   | 2020/06/09 | 2020/11/23 | 10.00          |
| 59622    | HK Bank - HKEX R Bull CBBC Oct 2020 I                    | 40,000,000   | 2020/06/09 | 2020/10/19 | 10.00          |
| 59625    | HK Bank - HKEX R Bull CBBC Nov 2020 J                    | 40,000,000   | 2020/06/09 | 2020/11/23 | 10.00          |
| 59623    | HK Bank - HKEX R Bear CBBC Nov 2020 D                    | 100,000,000  | 2020/06/09 | 2020/11/19 | 25.00          |
| 59626    | HK Bank - HSI R Bull CBBC May 2022 C                     | 60,000,000   | 2020/06/09 | 2022/05/30 | 15.00          |
| 59627    | HK Bank - HSI R Bull CBBC May 2022 D                     | 100,000,000  | 2020/06/09 | 2022/05/30 | 25.00          |
| 59616    | HK Bank - HSI R Bear CBBC Oct 2020 H                     | 80,000,000   | 2020/06/09 | 2020/10/29 | 20.00          |
| 59632    | HK Bank - Link REIT R Bull CBBC Jan 2021 A               | 40,000,000   | 2020/06/09 | 2021/01/14 | 10.00          |
| 59609    | HK Bank - Meituan Dianping R Bull CBBC Nov 2020 G        | 40,000,000   | 2020/06/09 | 2020/11/16 | 10.00          |
| 59637    | HK Bank - Ping An R Bull CBBC Nov 2020 D                 | 40,000,000   | 2020/06/09 | 2020/11/16 | 10.00          |
| 59636    | HK Bank - SMIC R Bull CBBC Nov 2020 D                    | 40,000,000   | 2020/06/09 | 2020/11/02 | 10.00          |
| 59624    | HK Bank - Tencent R Bull CBBC Nov 2020 K                 | 40,000,000   | 2020/06/09 | 2020/11/09 | 10.00          |
| 59621    | HK Bank - Tencent R Bear CBBC Oct 2020 J                 | 40,000,000   | 2020/06/09 | 2020/10/12 | 10.00          |
| 59645    | HK Bank - ZTE R Bull CBBC Dec 2020 C                     | 40,000,000   | 2020/06/09 | 2020/12/14 | 10.00          |
| 59821    | Haitong Int'l Sec - AIA R Bull CBBC Nov 2020 D           | 60,000,000   | 2020/06/09 | 2020/11/27 | 15.00          |
| 59817    | Haitong Int'l Sec - HKEX R Bull CBBC Dec 2020 C          | 60,000,000   | 2020/06/09 | 2020/12/30 | 15.00          |
| 59819    | Haitong Int'l Sec - HKEX R Bear CBBC Jan 2021 B          | 60,000,000   | 2020/06/09 | 2021/01/28 | 24.66          |
| 59824    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 I           | 150,000,000  | 2020/06/09 | 2023/04/27 | 37.50          |
| 59825    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 J           | 200,000,000  | 2020/06/09 | 2023/04/27 | 50.00          |
| 59826    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 K           | 300,000,000  | 2020/06/09 | 2023/04/27 | 75.00          |
| 59823    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 A           | 150,000,000  | 2020/06/09 | 2020/10/29 | 37.50          |
| 59812    | Haitong Int'l Sec - HSI R Bear CBBC Feb 2021 C           | 200,000,000  | 2020/06/09 | 2021/02/25 | 50.00          |
| 59810    | Haitong Int'l Sec - HSI R Bear CBBC Mar 2021 A           | 200,000,000  | 2020/06/09 | 2021/03/30 | 50.00          |
| 59814    | Haitong Int'l Sec - Tencent R Bull CBBC Dec 2020 H       | 60,000,000   | 2020/06/09 | 2020/12/30 | 15.00          |
| 59813    | Haitong Int'l Sec - Tencent R Bear CBBC Jan 2021 D       | 60,000,000   | 2020/06/09 | 2021/01/28 | 15.00          |
| 59764    | J P Morgan SP BV - HKEX R Bull CBBC Jan 2021 A           | 40,000,000   | 2020/06/09 | 2021/01/08 | 10.00          |
| 59765    | J P Morgan SP BV - HKEX R Bear CBBC Jan 2021 A           | 200,000,000  | 2020/06/09 | 2021/01/15 | 50.00          |
| 59779    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 S            | 200,000,000  | 2020/06/09 | 2023/02/27 | 50.00          |
| 59734    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 F            | 200,000,000  | 2020/06/09 | 2023/03/30 | 50.00          |
| 59748    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 G            | 200,000,000  | 2020/06/09 | 2023/03/30 | 50.00          |
| 59770    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 I            | 200,000,000  | 2020/06/09 | 2023/03/30 | 50.00          |
| 59753    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 Y            | 200,000,000  | 2020/06/09 | 2023/04/27 | 50.00          |
| 59755    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 O            | 200,000,000  | 2020/06/09 | 2023/09/28 | 50.00          |
| 59742    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 A            | 200,000,000  | 2020/06/09 | 2020/11/27 | 50.00          |
| 59757    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 L            | 200,000,000  | 2020/06/09 | 2020/11/27 | 50.00          |
| 59735    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 X            | 200,000,000  | 2020/06/09 | 2020/11/27 | 50.00          |
| 59758    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 X            | 200,000,000  | 2020/06/09 | 2020/12/30 | 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) |
|----------|----------------------------------------------------------------|--------------|------------|------------|----------------|
| 59756    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 R                  | 200,000,000  | 2020/06/09 | 2021/01/28 | 50.00          |
| 59762    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 S                  | 200,000,000  | 2020/06/09 | 2021/01/28 | 50.00          |
| 59631    | Morgan Stanley Asia Products - CSOP A50 ETF R Bull CBBC Dec20B | 40,000,000   | 2020/06/09 | 2020/12/01 | 10.00          |
| 59628    | Morgan Stanley Asia Products - CSOP A50 ETF R Bull CBBC Mar21B | 40,000,000   | 2020/06/09 | 2021/03/01 | 10.00          |
| 59784    | Morgan Stanley Asia Products - HSI R Bull CBBC May 2023 A      | 150,000,000  | 2020/06/09 | 2023/05/30 | 37.50          |
| 59782    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 X      | 150,000,000  | 2020/06/09 | 2020/10/29 | 37.50          |
| 59783    | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 K      | 150,000,000  | 2020/06/09 | 2020/11/27 | 37.50          |
| 59829    | SG Issuer - AIA R Bear CBBC Dec 2020 E                         | 60,000,000   | 2020/06/09 | 2020/12/30 | 15.00          |
| 59831    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 V               | 60,000,000   | 2020/06/09 | 2020/12/31 | 15.00          |
| 59849    | SG Issuer - Alibaba Group R Bear CBBC Feb 2021 C               | 60,000,000   | 2020/06/09 | 2021/02/25 | 15.00          |
| 59867    | SG Issuer - CC Bank R Bear CBBC Feb 2021 A                     | 100,000,000  | 2020/06/09 | 2021/02/25 | 25.00          |
| 59909    | SG Issuer - China Life R Bull CBBC Apr 2021 A                  | 150,000,000  | 2020/06/09 | 2021/04/29 | 37.50          |
| 59913    | SG Issuer - HKEX R Bull CBBC Jan 2021 D                        | 50,000,000   | 2020/06/09 | 2021/01/29 | 12.50          |
| 59915    | SG Issuer - HKEX R Bull CBBC Apr 2021 B                        | 200,000,000  | 2020/06/09 | 2021/04/29 | 50.00          |
| 59835    | SG Issuer - HKEX R Bear CBBC Jan 2021 K                        | 50,000,000   | 2020/06/09 | 2021/01/28 | 12.50          |
| 59836    | SG Issuer - HKEX R Bear CBBC Feb 2021 A                        | 50,000,000   | 2020/06/09 | 2021/02/25 | 21.50          |
| 59897    | SG Issuer - HSI R Bull CBBC Apr 2023 O                         | 250,000,000  | 2020/06/09 | 2023/04/27 | 62.50          |
| 59898    | SG Issuer - HSI R Bull CBBC May 2023 I                         | 250,000,000  | 2020/06/09 | 2023/05/30 | 62.50          |
| 59901    | SG Issuer - HSI R Bull CBBC May 2023 J                         | 250,000,000  | 2020/06/09 | 2023/05/30 | 62.50          |
| 59902    | SG Issuer - HSI R Bull CBBC May 2023 K                         | 250,000,000  | 2020/06/09 | 2023/05/30 | 62.50          |
| 59908    | SG Issuer - HSI R Bull CBBC Jun 2023 Q                         | 250,000,000  | 2020/06/09 | 2023/06/29 | 62.50          |
| 59840    | SG Issuer - HSI R Bear CBBC Sep 2020 G                         | 250,000,000  | 2020/06/09 | 2020/09/29 | 62.50          |
| 59885    | SG Issuer - HSI R Bear CBBC Nov 2020 F                         | 250,000,000  | 2020/06/09 | 2020/11/27 | 62.50          |
| 59845    | SG Issuer - HSI R Bear CBBC Nov 2020 P                         | 250,000,000  | 2020/06/09 | 2020/11/27 | 62.50          |
| 59882    | SG Issuer - HSI R Bear CBBC Dec 2020 R                         | 250,000,000  | 2020/06/09 | 2020/12/30 | 62.50          |
| 59893    | SG Issuer - HSI R Bear CBBC Jan 2021 R                         | 250,000,000  | 2020/06/09 | 2021/01/28 | 62.50          |
| 59883    | SG Issuer - HSI R Bear CBBC Feb 2021 Y                         | 500,000,000  | 2020/06/09 | 2021/02/25 | 125.00         |
| 59871    | SG Issuer - Meituan Dianping R Bull CBBC Nov 2020 R            | 100,000,000  | 2020/06/09 | 2020/11/30 | 25.00          |
| 59917    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 X            | 100,000,000  | 2020/06/09 | 2020/12/31 | 25.00          |
| 59874    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 Q            | 100,000,000  | 2020/06/09 | 2020/12/30 | 25.00          |
| 59923    | SG Issuer - Ping An R Bull CBBC Jan 2021 I                     | 100,000,000  | 2020/06/09 | 2021/01/28 | 25.00          |
| 59929    | SG Issuer - Sunny Optical R Bull CBBC Jan 2021 B               | 60,000,000   | 2020/06/09 | 2021/01/28 | 15.00          |
| 59876    | SG Issuer - Tencent R Bull CBBC Dec 2020 R                     | 80,000,000   | 2020/06/09 | 2020/12/31 | 20.00          |
| 59931    | SG Issuer - Tencent R Bear CBBC Jan 2021 U                     | 80,000,000   | 2020/06/09 | 2021/01/28 | 20.00          |
| 59932    | SG Issuer - Xiaomi R Bull CBBC May 2021 A                      | 60,000,000   | 2020/06/09 | 2021/05/28 | 15.00          |
| 59701    | UBS AG - AIA R Bear CBBC Feb 2021 A                            | 60,000,000   | 2020/06/09 | 2021/02/08 | 15.00          |
| 59667    | UBS AG - Alibaba Group R Bull CBBC Apr 2021 A                  | 80,000,000   | 2020/06/09 | 2021/04/12 | 20.00          |
| 59714    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 H                  | 80,000,000   | 2020/06/09 | 2021/02/08 | 20.00          |
| 59675    | UBS AG - China Life R Bull CBBC Jun 2021 C                     | 150,000,000  | 2020/06/09 | 2021/06/30 | 37.50          |
| 59678    | UBS AG - China Life R Bear CBBC Jun 2021 A                     | 150,000,000  | 2020/06/09 | 2021/06/30 | 37.50          |
| 59672    | UBS AG - Galaxy Ent R Bull CBBC Feb 2021 B                     | 60,000,000   | 2020/06/09 | 2021/02/26 | 15.00          |
| 59689    | UBS AG - Galaxy Ent R Bear CBBC Feb 2021 A                     | 60,000,000   | 2020/06/09 | 2021/02/26 | 15.00          |
| 59696    | UBS AG - HKEX R Bull CBBC Feb 2021 E                           | 50,000,000   | 2020/06/09 | 2021/02/08 | 12.50          |
| 59695    | UBS AG - HKEX R Bear CBBC Dec 2020 J                           | 50,000,000   | 2020/06/09 | 2020/12/30 | 12.50          |
| 59694    | UBS AG - HKEX R Bear CBBC Jul 2021 A                           | 200,000,000  | 2020/06/09 | 2021/07/30 | 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 59716    | UBS AG - HSI R Bull CBBC Sep 2022 Q                      | 200,000,000  | 2020/06/09 | 2022/09/29 | 50.00          |
| 59717    | UBS AG - HSI R Bull CBBC Sep 2022 R                      | 200,000,000  | 2020/06/09 | 2022/09/29 | 50.00          |
| 59720    | UBS AG - HSI R Bull CBBC Sep 2022 S                      | 200,000,000  | 2020/06/09 | 2022/09/29 | 50.00          |
| 59722    | UBS AG - HSI R Bull CBBC Sep 2022 T                      | 200,000,000  | 2020/06/09 | 2022/09/29 | 50.00          |
| 59702    | UBS AG - HSI R Bear CBBC Dec 2020 L                      | 200,000,000  | 2020/06/09 | 2020/12/30 | 50.00          |
| 59704    | UBS AG - HSI R Bear CBBC Dec 2020 M                      | 400,000,000  | 2020/06/09 | 2020/12/30 | 100.00         |
| 59710    | UBS AG - HSI R Bear CBBC Dec 2020 P                      | 200,000,000  | 2020/06/09 | 2020/12/30 | 50.00          |
| 59723    | UBS AG - HSI R Bear CBBC Dec 2020 S                      | 200,000,000  | 2020/06/09 | 2020/12/30 | 50.00          |
| 59656    | UBS AG - HSI R Bear CBBC Dec 2020 U                      | 200,000,000  | 2020/06/09 | 2020/12/30 | 50.00          |
| 59660    | UBS AG - HSI R Bear CBBC Dec 2020 V                      | 200,000,000  | 2020/06/09 | 2020/12/30 | 50.00          |
| 59665    | UBS AG - Meituan Dianping R Bull CBBC Apr 2021 A         | 50,000,000   | 2020/06/09 | 2021/04/12 | 12.50          |
| 59666    | UBS AG - Meituan Dianping R Bull CBBC Aug 2021 A         | 200,000,000  | 2020/06/09 | 2021/08/31 | 50.00          |
| 59697    | UBS AG - Meituan Dianping R Bear CBBC Jan 2021 G         | 50,000,000   | 2020/06/09 | 2021/01/28 | 12.50          |
| 59671    | UBS AG - Ping An R Bull CBBC Feb 2021 A                  | 100,000,000  | 2020/06/09 | 2021/02/26 | 25.00          |
| 59684    | UBS AG - Tencent R Bull CBBC Feb 2021 L                  | 40,000,000   | 2020/06/09 | 2021/02/26 | 10.00          |
| 59662    | UBS AG - Tencent R Bear CBBC Dec 2020 Q                  | 40,000,000   | 2020/06/09 | 2020/12/21 | 10.00          |
| 59664    | UBS AG - Tencent R Bear CBBC Jan 2021 M                  | 200,000,000  | 2020/06/09 | 2021/01/04 | 50.00          |
| 59808    | Bank Vontobel - AIA R Bull CBBC Apr 2021 A               | 80,000,000   | 2020/06/09 | 2021/04/09 | 20.00          |
| 59809    | Bank Vontobel - HKEX R Bull CBBC May 2021 A              | 40,000,000   | 2020/06/09 | 2021/05/14 | 10.00          |
| 59799    | Bank Vontobel - HKEX R Bear CBBC Jan 2021 A              | 40,000,000   | 2020/06/09 | 2021/01/22 | 11.64          |
| 59804    | Bank Vontobel - HKEX R Bear CBBC Feb 2021 A              | 40,000,000   | 2020/06/09 | 2021/02/19 | 10.00          |
| 59792    | Bank Vontobel - Meituan Dianping R Bull CBBC May 2021 A  | 60,000,000   | 2020/06/09 | 2021/05/28 | 15.00          |
| 59801    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 L  | 60,000,000   | 2020/06/09 | 2021/01/22 | 15.00          |
| 59806    | Bank Vontobel - Tencent R Bull CBBC Feb 2021 G           | 40,000,000   | 2020/06/09 | 2021/02/19 | 10.00          |
| 59791    | Bank Vontobel - Tencent R Bear CBBC Jan 2021 H           | 40,000,000   | 2020/06/09 | 2021/01/22 | 10.00          |
| 59807    | Bank Vontobel - Xiaomi R Bull CBBC Apr 2021 A            | 40,000,000   | 2020/06/09 | 2021/04/09 | 10.00          |
| 60488    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 R    | 60,000,000   | 2020/06/10 | 2020/12/30 | 15.00          |
| 60537    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 S    | 60,000,000   | 2020/06/10 | 2020/12/30 | 15.00          |
| 60545    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 I    | 60,000,000   | 2020/06/10 | 2020/12/30 | 15.00          |
| 60558    | BOCI Asia Ltd. - HKEX R Bull CBBC Dec 2020 C             | 40,000,000   | 2020/06/10 | 2020/12/30 | 10.00          |
| 60479    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 G              | 150,000,000  | 2020/06/10 | 2023/01/30 | 37.50          |
| 60553    | BOCI Asia Ltd. - Link REIT R Bull CBBC Dec 2020 C        | 40,000,000   | 2020/06/10 | 2020/12/30 | 10.00          |
| 60563    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 S | 40,000,000   | 2020/06/10 | 2020/12/30 | 10.00          |
| 60593    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 O | 40,000,000   | 2020/06/10 | 2020/12/30 | 10.00          |
| 60551    | BOCI Asia Ltd. - Ping An R Bull CBBC Sep 2020 N          | 50,000,000   | 2020/06/10 | 2020/09/29 | 12.50          |
| 60552    | BOCI Asia Ltd. - Xiaomi R Bull CBBC Dec 2020 F           | 40,000,000   | 2020/06/10 | 2020/12/31 | 10.00          |
| 60264    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2021 A  | 50,000,000   | 2020/06/10 | 2021/09/29 | 12.50          |
| 60318    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2021 B  | 50,000,000   | 2020/06/10 | 2021/09/29 | 12.50          |
| 61575    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2021 C  | 50,000,000   | 2020/06/10 | 2021/09/29 | 12.50          |
| 60320    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 O  | 50,000,000   | 2020/06/10 | 2020/11/27 | 12.50          |
| 60327    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 P  | 50,000,000   | 2020/06/10 | 2020/11/27 | 17.50          |
| 61525    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 Q  | 50,000,000   | 2020/06/10 | 2020/11/27 | 22.50          |
| 61574    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 R  | 50,000,000   | 2020/06/10 | 2020/11/27 | 32.50          |
| 61510    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 T   | 200,000,000  | 2020/06/10 | 2022/11/29 | 50.00          |
| 61512    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 U   | 200,000,000  | 2020/06/10 | 2022/11/29 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 61519    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 V     | 200,000,000  | 2020/06/10 | 2022/11/29 | 50.00          |
| 61584    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 W     | 200,000,000  | 2020/06/10 | 2022/11/29 | 50.00          |
| 60176    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 C     | 250,000,000  | 2020/06/10 | 2021/01/28 | 62.50          |
| 60184    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 D     | 250,000,000  | 2020/06/10 | 2021/01/28 | 62.50          |
| 60190    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 E     | 250,000,000  | 2020/06/10 | 2021/01/28 | 62.50          |
| 60197    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 F     | 250,000,000  | 2020/06/10 | 2021/01/28 | 62.50          |
| 61607    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Jan 2021 G     | 240,000,000  | 2020/06/10 | 2021/01/28 | 60.00          |
| 61609    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 C | 50,000,000   | 2020/06/10 | 2020/12/30 | 12.50          |
| 61614    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 G | 50,000,000   | 2020/06/10 | 2020/12/30 | 12.50          |
| 60213    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 P | 50,000,000   | 2020/06/10 | 2020/11/27 | 12.50          |
| 60215    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 Q | 50,000,000   | 2020/06/10 | 2020/11/27 | 20.00          |
| 60216    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 R | 50,000,000   | 2020/06/10 | 2020/11/27 | 25.00          |
| 60259    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 S | 50,000,000   | 2020/06/10 | 2020/11/27 | 12.50          |
| 61608    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 T | 50,000,000   | 2020/06/10 | 2020/11/27 | 24.00          |
| 60219    | BNP Paribas Issuance B.V. - Xiaomi R Bull CBBC Nov 2020 Z  | 50,000,000   | 2020/06/10 | 2020/11/27 | 12.50          |
| 62298    | Credit Suisse AG - Alibaba Group R Bull CBBC Oct 2020 L    | 50,000,000   | 2020/06/10 | 2020/10/29 | 12.50          |
| 62164    | Credit Suisse AG - Geely Auto R Bull CBBC Dec 2020 C       | 40,000,000   | 2020/06/10 | 2020/12/30 | 10.00          |
| 62145    | Credit Suisse AG - Galaxy Ent R Bull CBBC Nov 2020 F       | 80,000,000   | 2020/06/10 | 2020/11/27 | 20.00          |
| 62179    | Credit Suisse AG - HKEX R Bull CBBC Oct 2020 G             | 50,000,000   | 2020/06/10 | 2020/10/29 | 12.50          |
| 62196    | Credit Suisse AG - HKEX R Bear CBBC Nov 2020 B             | 100,000,000  | 2020/06/10 | 2020/11/27 | 25.00          |
| 62385    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 I              | 200,000,000  | 2020/06/10 | 2023/01/30 | 50.00          |
| 62387    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 O              | 200,000,000  | 2020/06/10 | 2023/01/30 | 50.00          |
| 62392    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 Q              | 200,000,000  | 2020/06/10 | 2023/01/30 | 50.00          |
| 62352    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 J              | 200,000,000  | 2020/06/10 | 2023/02/27 | 50.00          |
| 62365    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 K              | 200,000,000  | 2020/06/10 | 2023/02/27 | 50.00          |
| 62112    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 W              | 200,000,000  | 2020/06/10 | 2020/10/29 | 50.00          |
| 62129    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Y              | 200,000,000  | 2020/06/10 | 2020/10/29 | 50.00          |
| 62135    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 M              | 200,000,000  | 2020/06/10 | 2020/11/27 | 50.00          |
| 62139    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 H              | 200,000,000  | 2020/06/10 | 2020/12/30 | 50.00          |
| 62138    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 R              | 300,000,000  | 2020/06/10 | 2021/01/28 | 75.00          |
| 62143    | Credit Suisse AG - Link REIT R Bear CBBC Oct 2020 C        | 50,000,000   | 2020/06/10 | 2020/10/29 | 12.50          |
| 62270    | Credit Suisse AG - Meituan Dianping R Bull CBBC Nov 2020 F | 80,000,000   | 2020/06/10 | 2020/11/27 | 20.00          |
| 62286    | Credit Suisse AG - Meituan Dianping R Bear CBBC Feb 2021 A | 100,000,000  | 2020/06/10 | 2021/02/25 | 25.00          |
| 62269    | Credit Suisse AG - Ping An R Bull CBBC Oct 2020 G          | 80,000,000   | 2020/06/10 | 2020/10/29 | 20.00          |
| 62231    | Credit Suisse AG - SUNAC R Bull CBBC Feb 2021 B            | 60,000,000   | 2020/06/10 | 2021/02/19 | 15.00          |
| 62343    | Credit Suisse AG - SUNAC R Bear CBBC Jan 2021 A            | 50,000,000   | 2020/06/10 | 2021/01/28 | 12.50          |
| 62226    | Credit Suisse AG - Xiaomi R Bull CBBC Dec 2020 D           | 50,000,000   | 2020/06/10 | 2020/12/30 | 12.50          |
| 62421    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 E   | 60,000,000   | 2020/06/10 | 2020/10/30 | 15.00          |
| 62426    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Dec 2020 G   | 60,000,000   | 2020/06/10 | 2020/12/30 | 15.00          |
| 62423    | Goldman Sachs SP (Asia) - HKEX R Bear CBBC Jun 2021 B      | 80,000,000   | 2020/06/10 | 2021/06/30 | 20.00          |
| 62437    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 V       | 160,000,000  | 2020/06/10 | 2023/06/29 | 40.00          |
| 62439    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 W       | 160,000,000  | 2020/06/10 | 2023/06/29 | 40.00          |
| 62433    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 A       | 160,000,000  | 2020/06/10 | 2023/07/28 | 40.00          |
| 62435    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 B       | 160,000,000  | 2020/06/10 | 2023/07/28 | 40.00          |
| 62444    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 C       | 160,000,000  | 2020/06/10 | 2023/07/28 | 40.00          |



# 主 板 可 回 收 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 62462    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 D        | 160,000,000  | 2020/06/10 | 2023/07/28 | 40.00          |
| 62402    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 F        | 160,000,000  | 2020/06/10 | 2021/04/29 | 40.00          |
| 62408    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 G        | 160,000,000  | 2020/06/10 | 2021/04/29 | 40.00          |
| 62418    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 H        | 160,000,000  | 2020/06/10 | 2021/04/29 | 40.00          |
| 62472    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 I        | 160,000,000  | 2020/06/10 | 2021/04/29 | 40.00          |
| 62476    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 J        | 160,000,000  | 2020/06/10 | 2021/04/29 | 40.00          |
| 62493    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 K        | 160,000,000  | 2020/06/10 | 2021/04/29 | 40.00          |
| 62420    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 J    | 60,000,000   | 2020/06/10 | 2020/10/30 | 15.00          |
| 62425    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Jun 2021 D    | 60,000,000   | 2020/06/10 | 2021/06/30 | 15.00          |
| 62431    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Aug 2021 B    | 80,000,000   | 2020/06/10 | 2021/08/31 | 20.00          |
| 60463    | HK Bank - AIA R Bull CBBC Nov 2020 I                        | 40,000,000   | 2020/06/10 | 2020/11/05 | 10.00          |
| 60406    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 H              | 40,000,000   | 2020/06/10 | 2020/11/23 | 10.00          |
| 60435    | HK Bank - China Life R Bull CBBC Nov 2020 B                 | 40,000,000   | 2020/06/10 | 2020/11/23 | 10.00          |
| 60464    | HK Bank - Galaxy Ent R Bull CBBC Nov 2020 I                 | 40,000,000   | 2020/06/10 | 2020/11/16 | 10.00          |
| 60361    | HK Bank - HKEX R Bull CBBC Nov 2020 K                       | 40,000,000   | 2020/06/10 | 2020/11/26 | 10.00          |
| 60397    | HK Bank - HSCEI R Bull CBBC May 2022 A                      | 50,000,000   | 2020/06/10 | 2022/05/30 | 12.50          |
| 60363    | HK Bank - HSI R Bull CBBC May 2022 E                        | 100,000,000  | 2020/06/10 | 2022/05/30 | 25.00          |
| 60386    | HK Bank - HSI R Bull CBBC May 2022 F                        | 60,000,000   | 2020/06/10 | 2022/05/30 | 15.00          |
| 60349    | HK Bank - HSI R Bear CBBC Oct 2020 I                        | 60,000,000   | 2020/06/10 | 2020/10/29 | 15.00          |
| 60373    | HK Bank - Meituan Dianping R Bull CBBC Nov 2020 H           | 40,000,000   | 2020/06/10 | 2020/11/09 | 10.00          |
| 60383    | HK Bank - Meituan Dianping R Bear CBBC Dec 2020 B           | 100,000,000  | 2020/06/10 | 2020/12/14 | 25.00          |
| 60476    | HK Bank - SMIC R Bull CBBC Dec 2020 A                       | 40,000,000   | 2020/06/10 | 2020/12/07 | 10.00          |
| 60475    | HK Bank - Sunny Optical R Bull CBBC Nov 2020 D              | 40,000,000   | 2020/06/10 | 2020/11/23 | 10.00          |
| 60350    | HK Bank - Xiaomi R Bull CBBC Nov 2020 E                     | 40,000,000   | 2020/06/10 | 2020/11/16 | 10.00          |
| 61115    | Haitong Int'l Sec - HKEX R Bull CBBC Jan 2021 C             | 60,000,000   | 2020/06/10 | 2021/01/28 | 15.00          |
| 61114    | Haitong Int'l Sec - HKEX R Bear CBBC Jan 2021 C             | 60,000,000   | 2020/06/10 | 2021/01/28 | 30.18          |
| 61242    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 A              | 200,000,000  | 2020/06/10 | 2022/10/28 | 50.00          |
| 61237    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 G              | 150,000,000  | 2020/06/10 | 2022/10/28 | 37.50          |
| 61256    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2022 L              | 150,000,000  | 2020/06/10 | 2022/10/28 | 37.50          |
| 61093    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 E              | 150,000,000  | 2020/06/10 | 2020/12/30 | 37.50          |
| 61094    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 F              | 150,000,000  | 2020/06/10 | 2020/12/30 | 37.50          |
| 61106    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 G              | 200,000,000  | 2020/06/10 | 2020/12/30 | 50.00          |
| 61192    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Jan 2021 C | 60,000,000   | 2020/06/10 | 2021/01/28 | 15.00          |
| 61197    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Jan 2021 C | 60,000,000   | 2020/06/10 | 2021/01/28 | 15.00          |
| 61042    | J P Morgan SP BV - Alibaba Group R Bull CBBC Jan 2021 A     | 80,000,000   | 2020/06/10 | 2021/01/15 | 20.00          |
| 61055    | J P Morgan SP BV - Alibaba Group R Bear CBBC Jan 2021 A     | 80,000,000   | 2020/06/10 | 2021/01/08 | 20.00          |
| 61068    | J P Morgan SP BV - HKEX R Bull CBBC Jan 2021 B              | 40,000,000   | 2020/06/10 | 2021/01/15 | 10.00          |
| 61069    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 T               | 200,000,000  | 2020/06/10 | 2023/02/27 | 50.00          |
| 60948    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 K               | 200,000,000  | 2020/06/10 | 2023/03/30 | 50.00          |
| 60954    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 Z               | 200,000,000  | 2020/06/10 | 2023/04/27 | 50.00          |
| 60965    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 P               | 200,000,000  | 2020/06/10 | 2023/09/28 | 50.00          |
| 60970    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 Q               | 200,000,000  | 2020/06/10 | 2023/09/28 | 50.00          |
| 60937    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 G               | 200,000,000  | 2020/06/10 | 2020/11/27 | 50.00          |
| 60943    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 P               | 200,000,000  | 2020/06/10 | 2020/12/30 | 50.00          |
| 60988    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 W               | 200,000,000  | 2020/06/10 | 2020/12/30 | 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 60945    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 T                | 200,000,000  | 2020/06/10 | 2021/01/28 | 50.00          |
| 60999    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 U                | 200,000,000  | 2020/06/10 | 2021/01/28 | 50.00          |
| 61015    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 I                | 200,000,000  | 2020/06/10 | 2021/02/25 | 50.00          |
| 61028    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Dec 2020 E   | 80,000,000   | 2020/06/10 | 2020/12/18 | 20.00          |
| 61036    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Jan 2021 C   | 80,000,000   | 2020/06/10 | 2021/01/15 | 22.00          |
| 61039    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Feb 2021 B   | 200,000,000  | 2020/06/10 | 2021/02/19 | 50.00          |
| 61057    | J P Morgan SP BV - Tencent R Bull CBBC Jan 2021 B            | 50,000,000   | 2020/06/10 | 2021/01/15 | 12.50          |
| 61092    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 N    | 150,000,000  | 2020/06/10 | 2023/02/27 | 37.50          |
| 61086    | Morgan Stanley Asia Products - HSI R Bull CBBC Mar 2023 G    | 150,000,000  | 2020/06/10 | 2023/03/30 | 37.50          |
| 60402    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 Y    | 150,000,000  | 2020/06/10 | 2020/10/29 | 37.50          |
| 60399    | Morgan Stanley Asia Products - Meituan R Bear CBBC Mar 2021B | 40,000,000   | 2020/06/10 | 2021/03/01 | 14.36          |
| 61082    | Morgan Stanley Asia Products - Tencent R Bear CBBC Feb 2021C | 40,000,000   | 2020/06/10 | 2021/02/01 | 10.00          |
| 61840    | SG Issuer - AIA R Bull CBBC Nov 2020 E                       | 60,000,000   | 2020/06/10 | 2020/11/30 | 15.00          |
| 61891    | SG Issuer - Alibaba Group R Bull CBBC Jan 2021 D             | 60,000,000   | 2020/06/10 | 2021/01/29 | 15.00          |
| 61911    | SG Issuer - Alibaba Group R Bull CBBC Jan 2021 E             | 60,000,000   | 2020/06/10 | 2021/01/29 | 15.00          |
| 61622    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 O             | 60,000,000   | 2020/06/10 | 2020/12/30 | 15.00          |
| 61920    | SG Issuer - CNOOC R Bull CBBC Dec 2020 O                     | 40,000,000   | 2020/06/10 | 2020/12/31 | 10.00          |
| 62045    | SG Issuer - CSOP A50 ETF R Bull CBBC Jan 2021 D              | 100,000,000  | 2020/06/10 | 2021/01/29 | 25.00          |
| 62042    | SG Issuer - CSOP A50 ETF R Bear CBBC Oct 2020 C              | 100,000,000  | 2020/06/10 | 2020/10/30 | 25.00          |
| 61922    | SG Issuer - Geely Auto R Bull CBBC Dec 2020 F                | 40,000,000   | 2020/06/10 | 2020/12/31 | 10.00          |
| 61948    | SG Issuer - HKEX R Bull CBBC Dec 2020 M                      | 50,000,000   | 2020/06/10 | 2020/12/31 | 12.50          |
| 61950    | SG Issuer - HKEX R Bull CBBC Jan 2021 E                      | 50,000,000   | 2020/06/10 | 2021/01/29 | 12.50          |
| 61624    | SG Issuer - HKEX R Bear CBBC Dec 2020 M                      | 50,000,000   | 2020/06/10 | 2020/12/30 | 12.50          |
| 61643    | SG Issuer - HSBC R Bull CBBC Apr 2021 H                      | 100,000,000  | 2020/06/10 | 2021/04/29 | 25.00          |
| 61790    | SG Issuer - HSI R Bull CBBC Apr 2023 P                       | 250,000,000  | 2020/06/10 | 2023/04/27 | 62.50          |
| 61800    | SG Issuer - HSI R Bull CBBC May 2023 L                       | 250,000,000  | 2020/06/10 | 2023/05/30 | 62.50          |
| 61816    | SG Issuer - HSI R Bull CBBC May 2023 O                       | 250,000,000  | 2020/06/10 | 2023/05/30 | 62.50          |
| 61821    | SG Issuer - HSI R Bull CBBC Jun 2023 R                       | 250,000,000  | 2020/06/10 | 2023/06/29 | 62.50          |
| 61825    | SG Issuer - HSI R Bull CBBC Jun 2023 S                       | 500,000,000  | 2020/06/10 | 2023/06/29 | 125.00         |
| 61839    | SG Issuer - HSI R Bull CBBC Jun 2023 T                       | 250,000,000  | 2020/06/10 | 2023/06/29 | 62.50          |
| 61732    | SG Issuer - HSI R Bear CBBC Oct 2020 F                       | 250,000,000  | 2020/06/10 | 2020/10/29 | 62.50          |
| 61733    | SG Issuer - HSI R Bear CBBC Nov 2020 Q                       | 250,000,000  | 2020/06/10 | 2020/11/27 | 62.50          |
| 61747    | SG Issuer - HSI R Bear CBBC Nov 2020 R                       | 250,000,000  | 2020/06/10 | 2020/11/27 | 62.50          |
| 61763    | SG Issuer - HSI R Bear CBBC Jan 2021 B                       | 250,000,000  | 2020/06/10 | 2021/01/28 | 62.50          |
| 61766    | SG Issuer - HSI R Bear CBBC Jan 2021 S                       | 250,000,000  | 2020/06/10 | 2021/01/28 | 62.50          |
| 61781    | SG Issuer - HSI R Bear CBBC Feb 2021 Z                       | 250,000,000  | 2020/06/10 | 2021/02/25 | 62.50          |
| 61962    | SG Issuer - Link REIT R Bull CBBC Feb 2021 C                 | 60,000,000   | 2020/06/10 | 2021/02/25 | 15.00          |
| 62073    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 Z          | 100,000,000  | 2020/06/10 | 2020/12/31 | 25.00          |
| 62008    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 H          | 100,000,000  | 2020/06/10 | 2021/01/29 | 25.00          |
| 61683    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 K          | 100,000,000  | 2020/06/10 | 2021/01/28 | 25.00          |
| 62014    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 L          | 100,000,000  | 2020/06/10 | 2021/01/29 | 48.50          |
| 62024    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 F          | 100,000,000  | 2020/06/10 | 2021/02/25 | 25.00          |
| 62095    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 G          | 500,000,000  | 2020/06/10 | 2021/02/25 | 125.00         |
| 62026    | SG Issuer - Tencent R Bull CBBC Jan 2021 G                   | 80,000,000   | 2020/06/10 | 2021/01/29 | 20.00          |
| 61689    | SG Issuer - Tencent R Bear CBBC Jan 2021 V                   | 80,000,000   | 2020/06/10 | 2021/01/28 | 20.00          |

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| 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 61758    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 M               | 60,000,000   | 2020/06/10 | 2020/12/30 | 15.00          |
| 60881    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 K           | 80,000,000   | 2020/06/10 | 2021/02/01 | 20.00          |
| 60725    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 I           | 80,000,000   | 2020/06/10 | 2021/02/24 | 20.00          |
| 60893    | UBS AG - HKEX R Bull CBBC Feb 2021 F                    | 50,000,000   | 2020/06/10 | 2021/02/01 | 12.50          |
| 60917    | UBS AG - HKEX R Bear CBBC Dec 2020 K                    | 50,000,000   | 2020/06/10 | 2020/12/31 | 17.50          |
| 60894    | UBS AG - HKEX R Bear CBBC Apr 2021 A                    | 200,000,000  | 2020/06/10 | 2021/04/30 | 50.00          |
| 60762    | UBS AG - HSI R Bull CBBC Sep 2022 U                     | 200,000,000  | 2020/06/10 | 2022/09/29 | 50.00          |
| 60790    | UBS AG - HSI R Bull CBBC Sep 2022 X                     | 200,000,000  | 2020/06/10 | 2022/09/29 | 50.00          |
| 60918    | UBS AG - HSI R Bull CBBC Sep 2022 Y                     | 200,000,000  | 2020/06/10 | 2022/09/29 | 50.00          |
| 60799    | UBS AG - HSI R Bear CBBC Nov 2020 E                     | 200,000,000  | 2020/06/10 | 2020/11/27 | 50.00          |
| 60806    | UBS AG - HSI R Bear CBBC Nov 2020 N                     | 200,000,000  | 2020/06/10 | 2020/11/27 | 50.00          |
| 60815    | UBS AG - HSI R Bear CBBC Nov 2020 W                     | 300,000,000  | 2020/06/10 | 2020/11/27 | 75.00          |
| 60926    | UBS AG - HSI R Bear CBBC Dec 2020 H                     | 200,000,000  | 2020/06/10 | 2020/12/30 | 50.00          |
| 60610    | UBS AG - HSI R Bear CBBC Dec 2020 Y                     | 200,000,000  | 2020/06/10 | 2020/12/30 | 50.00          |
| 60922    | UBS AG - HSI R Bear CBBC Dec 2020 Z                     | 200,000,000  | 2020/06/10 | 2020/12/30 | 50.00          |
| 60829    | UBS AG - Meituan Dianping R Bull CBBC Mar 2021 E        | 50,000,000   | 2020/06/10 | 2021/03/03 | 12.50          |
| 60832    | UBS AG - Meituan Dianping R Bull CBBC Jul 2021 A        | 50,000,000   | 2020/06/10 | 2021/07/30 | 12.50          |
| 60673    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 G        | 50,000,000   | 2020/06/10 | 2020/12/31 | 12.50          |
| 60685    | UBS AG - Meituan Dianping R Bear CBBC Jul 2021 B        | 200,000,000  | 2020/06/10 | 2021/07/30 | 50.00          |
| 60682    | UBS AG - Meituan Dianping R Bear CBBC Aug 2021 B        | 200,000,000  | 2020/06/10 | 2021/08/31 | 50.00          |
| 60845    | UBS AG - Tencent R Bull CBBC Feb 2021 M                 | 40,000,000   | 2020/06/10 | 2021/02/01 | 10.00          |
| 60887    | UBS AG - Xiaomi R Bull CBBC Feb 2021 E                  | 60,000,000   | 2020/06/10 | 2021/02/01 | 15.00          |
| 60727    | UBS AG - Xiaomi R Bear CBBC Feb 2021 E                  | 60,000,000   | 2020/06/10 | 2021/02/24 | 15.00          |
| 61401    | Bank Vontobel - AAC Tech R Bull CBBC Mar 2021 C         | 40,000,000   | 2020/06/10 | 2021/03/26 | 10.00          |
| 61383    | Bank Vontobel - AIA R Bull CBBC Mar 2021 A              | 80,000,000   | 2020/06/10 | 2021/03/26 | 20.00          |
| 61471    | Bank Vontobel - Alibaba Group R Bull CBBC Feb 2021 D    | 40,000,000   | 2020/06/10 | 2021/02/05 | 10.00          |
| 61412    | Bank Vontobel - China Mobile R Bull CBBC Mar 2021 A     | 40,000,000   | 2020/06/10 | 2021/03/12 | 10.00          |
| 61460    | Bank Vontobel - CNOOC R Bull CBBC Mar 2021 A            | 60,000,000   | 2020/06/10 | 2021/03/12 | 15.00          |
| 61466    | Bank Vontobel - HKEX R Bull CBBC May 2021 B             | 40,000,000   | 2020/06/10 | 2021/05/07 | 10.00          |
| 61320    | Bank Vontobel - HKEX R Bear CBBC Mar 2021 A             | 60,000,000   | 2020/06/10 | 2021/03/26 | 15.00          |
| 61373    | Bank Vontobel - HSBC R Bull CBBC Mar 2021 B             | 40,000,000   | 2020/06/10 | 2021/03/26 | 10.00          |
| 61497    | Bank Vontobel - HSI R Bull CBBC Dec 2022 F              | 80,000,000   | 2020/06/10 | 2022/12/29 | 20.00          |
| 61483    | Bank Vontobel - HSI R Bull CBBC Dec 2022 U              | 80,000,000   | 2020/06/10 | 2022/12/29 | 20.00          |
| 61283    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 G | 60,000,000   | 2020/06/10 | 2021/02/05 | 15.00          |
| 61284    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 H | 60,000,000   | 2020/06/10 | 2021/02/05 | 15.00          |
| 61273    | Bank Vontobel - Meituan Dianping R Bear CBBC Feb 2021 A | 60,000,000   | 2020/06/10 | 2021/02/05 | 15.00          |
| 61276    | Bank Vontobel - Meituan Dianping R Bear CBBC Feb 2021 B | 60,000,000   | 2020/06/10 | 2021/02/05 | 23.46          |
| 61295    | Bank Vontobel - Ping An R Bull CBBC Feb 2021 A          | 40,000,000   | 2020/06/10 | 2021/02/05 | 10.00          |
| 61264    | Bank Vontobel - Tencent R Bear CBBC Feb 2021 A          | 40,000,000   | 2020/06/10 | 2021/02/05 | 19.24          |
| 61506    | Bank Vontobel - Xiaomi R Bull CBBC Feb 2021 F           | 40,000,000   | 2020/06/10 | 2021/02/05 | 10.00          |
| 63216    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 T   | 60,000,000   | 2020/06/11 | 2020/12/30 | 15.00          |
| 63128    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 H             | 150,000,000  | 2020/06/11 | 2023/01/30 | 37.50          |
| 63168    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 K             | 150,000,000  | 2020/06/11 | 2023/01/30 | 37.50          |
| 63180    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 B             | 150,000,000  | 2020/06/11 | 2020/10/29 | 37.50          |
| 63169    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 C             | 150,000,000  | 2020/06/11 | 2020/10/29 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 63234    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 T   | 40,000,000   | 2020/06/11 | 2020/12/30 | 10.00          |
| 63245    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 P   | 40,000,000   | 2020/06/11 | 2020/12/30 | 12.00          |
| 63231    | BOCI Asia Ltd. - Ping An R Bull CBBC Sep 2020 O            | 100,000,000  | 2020/06/11 | 2020/09/29 | 25.00          |
| 62760    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 L | 100,000,000  | 2020/06/11 | 2020/12/30 | 25.00          |
| 62781    | BNP Paribas Issuance B.V. - Alibaba R Bear CBBC Apr 2021 C | 100,000,000  | 2020/06/11 | 2021/04/29 | 35.00          |
| 62783    | BNP Paribas Issuance B.V. - Alibaba R Bear CBBC Apr 2021 D | 100,000,000  | 2020/06/11 | 2021/04/29 | 45.00          |
| 63305    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 X     | 200,000,000  | 2020/06/11 | 2022/11/29 | 50.00          |
| 63314    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 Y     | 190,000,000  | 2020/06/11 | 2022/11/29 | 47.50          |
| 62687    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 X     | 250,000,000  | 2020/06/11 | 2020/10/29 | 62.50          |
| 62704    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 Y     | 250,000,000  | 2020/06/11 | 2020/10/29 | 62.50          |
| 62707    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 Z     | 250,000,000  | 2020/06/11 | 2020/10/29 | 62.50          |
| 62789    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 D     | 250,000,000  | 2020/06/11 | 2020/11/27 | 62.50          |
| 62732    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 L | 50,000,000   | 2020/06/11 | 2020/12/30 | 12.50          |
| 62739    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 U | 50,000,000   | 2020/06/11 | 2020/11/27 | 12.50          |
| 62752    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 V | 50,000,000   | 2020/06/11 | 2020/11/27 | 15.00          |
| 62759    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 W | 50,000,000   | 2020/06/11 | 2020/11/27 | 20.00          |
| 62712    | BNP Paribas Issuance B.V. - Xiaomi R Bull CBBC Nov 2020 C  | 50,000,000   | 2020/06/11 | 2020/11/27 | 12.50          |
| 63606    | Credit Suisse AG - AIA R Bull CBBC Dec 2020 J              | 100,000,000  | 2020/06/11 | 2020/12/30 | 25.00          |
| 63646    | Credit Suisse AG - Alibaba Group R Bull CBBC Sep 2020 L    | 50,000,000   | 2020/06/11 | 2020/09/29 | 12.50          |
| 63609    | Credit Suisse AG - China Life R Bull CBBC Jul 2021 A       | 80,000,000   | 2020/06/11 | 2021/07/29 | 20.00          |
| 63645    | Credit Suisse AG - China Life R Bear CBBC Feb 2021 A       | 80,000,000   | 2020/06/11 | 2021/02/25 | 20.00          |
| 63605    | Credit Suisse AG - CNOOC R Bull CBBC Dec 2020 B            | 50,000,000   | 2020/06/11 | 2020/12/30 | 12.50          |
| 63596    | Credit Suisse AG - HSBC R Bull CBBC Jan 2021 B             | 70,000,000   | 2020/06/11 | 2021/01/28 | 17.50          |
| 63799    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 B              | 200,000,000  | 2020/06/11 | 2023/03/30 | 50.00          |
| 63803    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 C              | 200,000,000  | 2020/06/11 | 2023/03/30 | 50.00          |
| 63805    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 D              | 200,000,000  | 2020/06/11 | 2023/03/30 | 50.00          |
| 63855    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 E              | 200,000,000  | 2020/06/11 | 2023/03/30 | 50.00          |
| 63856    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 F              | 200,000,000  | 2020/06/11 | 2023/03/30 | 50.00          |
| 63593    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 Z              | 200,000,000  | 2020/06/11 | 2020/10/29 | 50.00          |
| 63658    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 V              | 200,000,000  | 2020/06/11 | 2020/11/27 | 50.00          |
| 63712    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 W              | 200,000,000  | 2020/06/11 | 2020/11/27 | 50.00          |
| 63741    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 I              | 200,000,000  | 2020/06/11 | 2020/12/30 | 50.00          |
| 63649    | Credit Suisse AG - Meituan Dianping R Bull CBBC Oct 2020 J | 80,000,000   | 2020/06/11 | 2020/10/29 | 20.00          |
| 63652    | Credit Suisse AG - Meituan Dianping R Bear CBBC Feb 2021 B | 100,000,000  | 2020/06/11 | 2021/02/25 | 25.00          |
| 63653    | Credit Suisse AG - Tencent R Bull CBBC Nov 2020 O          | 50,000,000   | 2020/06/11 | 2020/11/27 | 12.50          |
| 63926    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 F   | 60,000,000   | 2020/06/11 | 2020/10/30 | 15.00          |
| 63962    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Mar 2021 H   | 80,000,000   | 2020/06/11 | 2021/03/31 | 20.00          |
| 63859    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 X       | 160,000,000  | 2020/06/11 | 2023/06/29 | 40.00          |
| 63868    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 Y       | 160,000,000  | 2020/06/11 | 2023/06/29 | 40.00          |
| 63878    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jun 2023 Z       | 160,000,000  | 2020/06/11 | 2023/06/29 | 40.00          |
| 63875    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 E       | 160,000,000  | 2020/06/11 | 2023/07/28 | 40.00          |
| 63862    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 L       | 160,000,000  | 2020/06/11 | 2021/04/29 | 40.00          |
| 63904    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 M       | 160,000,000  | 2020/06/11 | 2021/04/29 | 40.00          |
| 63866    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 N       | 160,000,000  | 2020/06/11 | 2021/04/29 | 40.00          |
| 63889    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 O       | 160,000,000  | 2020/06/11 | 2021/04/29 | 40.00          |

# 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 63892    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 P        | 160,000,000  | 2020/06/11 | 2021/04/29 | 40.00          |
| 63903    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Apr 2021 Q        | 160,000,000  | 2020/06/11 | 2021/04/29 | 40.00          |
| 63924    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 K    | 60,000,000   | 2020/06/11 | 2020/10/30 | 15.00          |
| 63952    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Jun 2021 E    | 60,000,000   | 2020/06/11 | 2021/06/30 | 15.00          |
| 63968    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Aug 2021 C    | 80,000,000   | 2020/06/11 | 2021/08/31 | 20.00          |
| 63974    | Goldman Sachs SP (Asia) - Ping An R Bull CBBC Mar 2021 C    | 80,000,000   | 2020/06/11 | 2021/03/31 | 20.00          |
| 63983    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 L    | 60,000,000   | 2020/06/11 | 2020/10/30 | 15.00          |
| 63981    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 V    | 60,000,000   | 2020/06/11 | 2020/10/30 | 15.00          |
| 62651    | HK Bank - AIA R Bear CBBC Oct 2020 E                        | 40,000,000   | 2020/06/11 | 2020/10/22 | 10.00          |
| 62621    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 I              | 40,000,000   | 2020/06/11 | 2020/11/05 | 10.00          |
| 62613    | HK Bank - Alibaba Group R Bear CBBC Nov 2020 C              | 40,000,000   | 2020/06/11 | 2020/11/02 | 10.00          |
| 62586    | HK Bank - CNOOC R Bear CBBC Oct 2020 A                      | 40,000,000   | 2020/06/11 | 2020/10/19 | 10.00          |
| 62626    | HK Bank - HKEX R Bull CBBC Dec 2020 A                       | 40,000,000   | 2020/06/11 | 2020/12/07 | 10.00          |
| 62640    | HK Bank - HKEX R Bear CBBC Oct 2020 F                       | 40,000,000   | 2020/06/11 | 2020/10/19 | 10.00          |
| 62523    | HK Bank - HSI R Bull CBBC May 2022 G                        | 100,000,000  | 2020/06/11 | 2022/05/30 | 25.00          |
| 62537    | HK Bank - HSI R Bull CBBC May 2022 H                        | 100,000,000  | 2020/06/11 | 2022/05/30 | 25.00          |
| 62502    | HK Bank - HSI R Bear CBBC Oct 2020 J                        | 80,000,000   | 2020/06/11 | 2020/10/29 | 20.00          |
| 62549    | HK Bank - HSI R Bear CBBC Oct 2020 K                        | 100,000,000  | 2020/06/11 | 2020/10/29 | 25.00          |
| 62571    | HK Bank - HSI R Bear CBBC Oct 2020 L                        | 80,000,000   | 2020/06/11 | 2020/10/29 | 20.00          |
| 62670    | HK Bank - Meituan Dianping R Bull CBBC Oct 2020 H           | 40,000,000   | 2020/06/11 | 2020/10/22 | 10.00          |
| 62668    | HK Bank - Meituan Dianping R Bear CBBC Oct 2020 E           | 40,000,000   | 2020/06/11 | 2020/10/19 | 10.00          |
| 62652    | HK Bank - Meituan Dianping R Bear CBBC Jan 2021 D           | 100,000,000  | 2020/06/11 | 2021/01/11 | 25.00          |
| 62645    | HK Bank - Ping An R Bull CBBC Nov 2020 E                    | 60,000,000   | 2020/06/11 | 2020/11/23 | 15.00          |
| 63267    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Nov 2020 H    | 60,000,000   | 2020/06/11 | 2020/11/27 | 15.00          |
| 63275    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 A              | 150,000,000  | 2020/06/11 | 2023/01/30 | 37.50          |
| 63277    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 C              | 150,000,000  | 2020/06/11 | 2023/01/30 | 37.50          |
| 63246    | Haitong Int'l Sec - HSI R Bull CBBC Jan 2023 Z              | 150,000,000  | 2020/06/11 | 2023/01/30 | 37.50          |
| 63257    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 X              | 200,000,000  | 2020/06/11 | 2021/01/28 | 50.00          |
| 63258    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 Y              | 150,000,000  | 2020/06/11 | 2021/01/28 | 37.50          |
| 63273    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Nov 2020 G | 60,000,000   | 2020/06/11 | 2020/11/27 | 15.00          |
| 63028    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 U               | 200,000,000  | 2020/06/11 | 2023/02/27 | 50.00          |
| 63082    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 V               | 200,000,000  | 2020/06/11 | 2023/02/27 | 50.00          |
| 63021    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 L               | 200,000,000  | 2020/06/11 | 2023/03/30 | 50.00          |
| 63084    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 O               | 200,000,000  | 2020/06/11 | 2023/03/30 | 50.00          |
| 63121    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 P               | 200,000,000  | 2020/06/11 | 2023/03/30 | 50.00          |
| 63000    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 C               | 200,000,000  | 2020/06/11 | 2023/04/27 | 50.00          |
| 63008    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 R               | 200,000,000  | 2020/06/11 | 2023/09/28 | 50.00          |
| 62978    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 F               | 200,000,000  | 2020/06/11 | 2020/10/29 | 50.00          |
| 63085    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 C               | 200,000,000  | 2020/06/11 | 2020/11/27 | 50.00          |
| 62981    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 R               | 200,000,000  | 2020/06/11 | 2020/11/27 | 50.00          |
| 63093    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 V               | 200,000,000  | 2020/06/11 | 2021/01/28 | 50.00          |
| 63096    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Dec 2020 F  | 80,000,000   | 2020/06/11 | 2020/12/18 | 20.00          |
| 63098    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Jan 2021 C  | 80,000,000   | 2020/06/11 | 2021/01/15 | 20.00          |
| 63112    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Feb 2021 C  | 80,000,000   | 2020/06/11 | 2021/02/19 | 22.80          |
| 63114    | J P Morgan SP BV - Tencent R Bear CBBC Jan 2021 A           | 50,000,000   | 2020/06/11 | 2021/01/15 | 18.75          |

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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 63296    | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 C | 150,000,000  | 2020/06/11 | 2023/04/27 | 37.50          |
| 63294    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 Z | 150,000,000  | 2020/06/11 | 2020/10/29 | 37.50          |
| 63337    | SG Issuer - AIA R Bear CBBC Jan 2021 C                    | 60,000,000   | 2020/06/11 | 2021/01/29 | 15.00          |
| 63505    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 W          | 60,000,000   | 2020/06/11 | 2020/12/31 | 15.00          |
| 63342    | SG Issuer - Alibaba Group R Bear CBBC Feb 2021 D          | 60,000,000   | 2020/06/11 | 2021/02/25 | 15.00          |
| 63344    | SG Issuer - CNOOC R Bear CBBC Jan 2021 C                  | 40,000,000   | 2020/06/11 | 2021/01/28 | 10.00          |
| 63354    | SG Issuer - HKEX R Bull CBBC Nov 2020 F                   | 50,000,000   | 2020/06/11 | 2020/11/30 | 12.50          |
| 63524    | SG Issuer - HKEX R Bear CBBC Jan 2021 L                   | 50,000,000   | 2020/06/11 | 2021/01/29 | 26.00          |
| 63525    | SG Issuer - HKEX R Bear CBBC Feb 2021 B                   | 200,000,000  | 2020/06/11 | 2021/02/25 | 50.00          |
| 63478    | SG Issuer - HSI R Bull CBBC Mar 2023 L                    | 250,000,000  | 2020/06/11 | 2023/03/30 | 62.50          |
| 63479    | SG Issuer - HSI R Bull CBBC Apr 2023 Q                    | 250,000,000  | 2020/06/11 | 2023/04/27 | 62.50          |
| 63486    | SG Issuer - HSI R Bull CBBC Apr 2023 R                    | 250,000,000  | 2020/06/11 | 2023/04/27 | 62.50          |
| 63494    | SG Issuer - HSI R Bull CBBC Apr 2023 S                    | 250,000,000  | 2020/06/11 | 2023/04/27 | 62.50          |
| 63501    | SG Issuer - HSI R Bull CBBC Apr 2023 T                    | 250,000,000  | 2020/06/11 | 2023/04/27 | 62.50          |
| 63502    | SG Issuer - HSI R Bull CBBC Apr 2023 U                    | 250,000,000  | 2020/06/11 | 2023/04/27 | 62.50          |
| 63320    | SG Issuer - HSI R Bear CBBC Oct 2020 A                    | 250,000,000  | 2020/06/11 | 2020/10/29 | 62.50          |
| 63329    | SG Issuer - HSI R Bear CBBC Nov 2020 U                    | 250,000,000  | 2020/06/11 | 2020/11/27 | 62.50          |
| 63440    | SG Issuer - HSI R Bear CBBC Dec 2020 W                    | 250,000,000  | 2020/06/11 | 2020/12/30 | 62.50          |
| 63475    | SG Issuer - HSI R Bear CBBC Jan 2021 A                    | 250,000,000  | 2020/06/11 | 2021/01/28 | 62.50          |
| 63463    | SG Issuer - HSI R Bear CBBC Jan 2021 T                    | 500,000,000  | 2020/06/11 | 2021/01/28 | 125.00         |
| 63473    | SG Issuer - HSI R Bear CBBC Jan 2021 U                    | 250,000,000  | 2020/06/11 | 2021/01/28 | 62.50          |
| 63477    | SG Issuer - HSI R Bear CBBC Feb 2021 B                    | 250,000,000  | 2020/06/11 | 2021/02/25 | 62.50          |
| 63585    | SG Issuer - Meituan Dianping R Bull CBBC Nov 2020 S       | 100,000,000  | 2020/06/11 | 2020/11/30 | 25.00          |
| 63526    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 I       | 100,000,000  | 2020/06/11 | 2021/01/29 | 25.00          |
| 63330    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 R       | 100,000,000  | 2020/06/11 | 2020/12/30 | 25.00          |
| 63334    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 S       | 100,000,000  | 2020/06/11 | 2020/12/31 | 25.00          |
| 63528    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 M       | 100,000,000  | 2020/06/11 | 2021/01/29 | 25.00          |
| 63368    | SG Issuer - Sands China R Bull CBBC Apr 2021 E            | 100,000,000  | 2020/06/11 | 2021/04/30 | 25.00          |
| 63529    | SG Issuer - SMIC R Bull CBBC Jan 2021 B                   | 120,000,000  | 2020/06/11 | 2021/01/29 | 30.00          |
| 63533    | SG Issuer - Tencent R Bull CBBC Jan 2021 H                | 80,000,000   | 2020/06/11 | 2021/01/29 | 20.00          |
| 63555    | SG Issuer - Tencent R Bull CBBC Jan 2021 I                | 80,000,000   | 2020/06/11 | 2021/01/29 | 20.00          |
| 63335    | SG Issuer - Tencent R Bear CBBC Jan 2021 W                | 80,000,000   | 2020/06/11 | 2021/01/28 | 20.00          |
| 63418    | SG Issuer - Xiaomi R Bull CBBC Jan 2021 C                 | 60,000,000   | 2020/06/11 | 2021/01/29 | 15.00          |
| 62877    | UBS AG - Alibaba Group R Bull CBBC May 2021 A             | 400,000,000  | 2020/06/11 | 2021/05/31 | 100.00         |
| 62871    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 J             | 80,000,000   | 2020/06/11 | 2021/02/26 | 20.00          |
| 62825    | UBS AG - HKEX R Bull CBBC May 2021 A                      | 200,000,000  | 2020/06/11 | 2021/05/03 | 50.00          |
| 62833    | UBS AG - HKEX R Bear CBBC Feb 2021 D                      | 50,000,000   | 2020/06/11 | 2021/02/09 | 12.50          |
| 62836    | UBS AG - HKEX R Bear CBBC May 2021 A                      | 200,000,000  | 2020/06/11 | 2021/05/31 | 50.00          |
| 62969    | UBS AG - HSCEI R Bull CBBC Dec 2021 I                     | 200,000,000  | 2020/06/11 | 2021/12/30 | 50.00          |
| 62972    | UBS AG - HSCEI R Bear CBBC Dec 2020 D                     | 200,000,000  | 2020/06/11 | 2020/12/30 | 50.00          |
| 62807    | UBS AG - HSI R Bull CBBC Sep 2022 G                       | 200,000,000  | 2020/06/11 | 2022/09/29 | 50.00          |
| 62887    | UBS AG - HSI R Bull CBBC Sep 2022 M                       | 200,000,000  | 2020/06/11 | 2022/09/29 | 50.00          |
| 62793    | UBS AG - HSI R Bull CBBC Sep 2022 Z                       | 200,000,000  | 2020/06/11 | 2022/09/29 | 50.00          |
| 62819    | UBS AG - HSI R Bear CBBC Jan 2021 V                       | 200,000,000  | 2020/06/11 | 2021/01/28 | 50.00          |
| 62912    | UBS AG - HSI R Bear CBBC Jan 2021 X                       | 200,000,000  | 2020/06/11 | 2021/01/28 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 62941    | UBS AG - HSI R Bear CBBC Jan 2021 Y                        | 200,000,000  | 2020/06/11 | 2021/01/28 | 50.00          |
| 62949    | UBS AG - Meituan Dianping R Bull CBBC Feb 2021 E           | 50,000,000   | 2020/06/11 | 2021/02/09 | 12.50          |
| 62820    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 H           | 50,000,000   | 2020/06/11 | 2020/12/30 | 16.50          |
| 62944    | UBS AG - Meituan Dianping R Bear CBBC Feb 2021 C           | 150,000,000  | 2020/06/11 | 2021/02/09 | 37.50          |
| 62950    | UBS AG - Xiaomi R Bear CBBC Feb 2021 F                     | 60,000,000   | 2020/06/11 | 2021/02/08 | 15.00          |
| 64042    | Bank Vontobel - HSI N Bull CBBC Dec 2022 G                 | 40,000,000   | 2020/06/11 | 2022/12/29 | 10.00          |
| 64033    | Bank Vontobel - HSI N Bear CBBC Dec 2020 X                 | 40,000,000   | 2020/06/11 | 2020/12/30 | 10.00          |
| 64028    | Bank Vontobel - HSI R Bull CBBC Sep 2022 A                 | 80,000,000   | 2020/06/11 | 2022/09/29 | 20.00          |
| 64020    | Bank Vontobel - HSI R Bear CBBC Dec 2020 W                 | 80,000,000   | 2020/06/11 | 2020/12/30 | 20.00          |
| 63986    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 I    | 60,000,000   | 2020/06/11 | 2021/02/05 | 15.00          |
| 63991    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 J    | 60,000,000   | 2020/06/11 | 2021/02/05 | 15.00          |
| 63985    | Bank Vontobel - Meituan Dianping R Bear CBBC Feb 2021 C    | 60,000,000   | 2020/06/11 | 2021/02/05 | 15.00          |
| 64162    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 F                | 150,000,000  | 2020/06/12 | 2023/01/30 | 37.50          |
| 64160    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 L                | 150,000,000  | 2020/06/12 | 2023/01/30 | 37.50          |
| 64172    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 D                | 150,000,000  | 2020/06/12 | 2020/10/29 | 37.50          |
| 64175    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 E                | 150,000,000  | 2020/06/12 | 2020/10/29 | 37.50          |
| 64176    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 U   | 40,000,000   | 2020/06/12 | 2020/12/30 | 10.00          |
| 64215    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 M            | 40,000,000   | 2020/06/12 | 2020/12/30 | 10.80          |
| 64225    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 A            | 40,000,000   | 2020/06/12 | 2020/12/30 | 10.00          |
| 64741    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 M | 100,000,000  | 2020/06/12 | 2020/12/30 | 25.00          |
| 64781    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 P | 100,000,000  | 2020/06/12 | 2020/12/30 | 25.00          |
| 64787    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 S    | 50,000,000   | 2020/06/12 | 2020/11/27 | 12.50          |
| 64809    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Nov 2020 T    | 50,000,000   | 2020/06/12 | 2020/11/27 | 27.50          |
| 64854    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 I     | 200,000,000  | 2020/06/12 | 2022/11/29 | 50.00          |
| 64856    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 J     | 200,000,000  | 2020/06/12 | 2022/11/29 | 50.00          |
| 64859    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 K     | 200,000,000  | 2020/06/12 | 2022/11/29 | 50.00          |
| 64897    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 L     | 200,000,000  | 2020/06/12 | 2022/11/29 | 50.00          |
| 64840    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 Z     | 200,000,000  | 2020/06/12 | 2022/11/29 | 50.00          |
| 64824    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 T     | 250,000,000  | 2020/06/12 | 2020/11/27 | 62.50          |
| 64826    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 U     | 250,000,000  | 2020/06/12 | 2020/11/27 | 62.50          |
| 64811    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 U | 50,000,000   | 2020/06/12 | 2020/11/27 | 12.50          |
| 64817    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 S | 50,000,000   | 2020/06/12 | 2020/12/30 | 12.50          |
| 65155    | Credit Suisse AG - AAC Tech R Bull CBBC Dec 2020 F         | 80,000,000   | 2020/06/12 | 2020/12/30 | 20.00          |
| 65267    | Credit Suisse AG - Alibaba Group R Bull CBBC Oct 2020 M    | 50,000,000   | 2020/06/12 | 2020/10/29 | 12.50          |
| 65272    | Credit Suisse AG - Alibaba Group R Bull CBBC Jan 2021 A    | 150,000,000  | 2020/06/12 | 2021/01/28 | 37.50          |
| 65301    | Credit Suisse AG - CNOOC R Bear CBBC Dec 2020 B            | 40,000,000   | 2020/06/12 | 2020/12/30 | 10.00          |
| 65275    | Credit Suisse AG - HSBC R Bull CBBC Jan 2021 C             | 70,000,000   | 2020/06/12 | 2021/01/28 | 17.50          |
| 65228    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 J              | 200,000,000  | 2020/06/12 | 2023/01/30 | 50.00          |
| 65227    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 Z              | 200,000,000  | 2020/06/12 | 2023/01/30 | 50.00          |
| 65172    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 G              | 200,000,000  | 2020/06/12 | 2023/03/30 | 50.00          |
| 65174    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 H              | 200,000,000  | 2020/06/12 | 2023/03/30 | 50.00          |
| 65179    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 I              | 200,000,000  | 2020/06/12 | 2023/03/30 | 50.00          |
| 65123    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 H              | 200,000,000  | 2020/06/12 | 2020/10/29 | 50.00          |
| 65127    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 I              | 200,000,000  | 2020/06/12 | 2020/10/29 | 50.00          |
| 65143    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 N              | 200,000,000  | 2020/06/12 | 2020/10/29 | 50.00          |

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|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 65156    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 R               | 200,000,000  | 2020/06/12 | 2020/10/29 | 50.00          |
| 65165    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 J               | 200,000,000  | 2020/06/12 | 2020/12/30 | 50.00          |
| 65313    | Credit Suisse AG - Link REIT R Bull CBBC Jan 2021 C         | 50,000,000   | 2020/06/12 | 2021/01/28 | 12.50          |
| 65296    | Credit Suisse AG - Meituan Dianping R Bear CBBC Jan 2021 D  | 100,000,000  | 2020/06/12 | 2021/01/28 | 25.00          |
| 65279    | Credit Suisse AG - Meituan Dianping R Bear CBBC Apr 2021 A  | 100,000,000  | 2020/06/12 | 2021/04/29 | 25.00          |
| 65311    | Credit Suisse AG - Ping An R Bull CBBC Nov 2020 O           | 80,000,000   | 2020/06/12 | 2020/11/27 | 20.00          |
| 65247    | Credit Suisse AG - Sands China R Bull CBBC Mar 2021 C       | 60,000,000   | 2020/06/12 | 2021/03/30 | 15.00          |
| 65144    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 I              | 100,000,000  | 2020/06/12 | 2021/01/28 | 25.00          |
| 65147    | Credit Suisse AG - SMIC R Bear CBBC Jan 2021 B              | 50,000,000   | 2020/06/12 | 2021/01/28 | 12.50          |
| 65153    | Credit Suisse AG - Sunny Optical R Bull CBBC Dec 2020 D     | 40,000,000   | 2020/06/12 | 2020/12/30 | 10.00          |
| 65398    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Dec 2020 O    | 60,000,000   | 2020/06/12 | 2020/12/30 | 15.00          |
| 65376    | Goldman Sachs SP (Asia) - Galaxy Ent R Bull CBBC Dec 2020 F | 60,000,000   | 2020/06/12 | 2020/12/30 | 15.00          |
| 65377    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Jun 2021 H       | 80,000,000   | 2020/06/12 | 2021/06/30 | 20.00          |
| 65335    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 F        | 160,000,000  | 2020/06/12 | 2023/07/28 | 40.00          |
| 65460    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 G        | 160,000,000  | 2020/06/12 | 2023/07/28 | 40.00          |
| 65502    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 H        | 160,000,000  | 2020/06/12 | 2023/07/28 | 40.00          |
| 65503    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 I        | 160,000,000  | 2020/06/12 | 2023/07/28 | 40.00          |
| 65513    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 J        | 160,000,000  | 2020/06/12 | 2023/07/28 | 40.00          |
| 65534    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 K        | 160,000,000  | 2020/06/12 | 2023/07/28 | 40.00          |
| 65563    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 L        | 160,000,000  | 2020/06/12 | 2023/07/28 | 40.00          |
| 65436    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 E        | 160,000,000  | 2020/06/12 | 2021/02/25 | 40.00          |
| 65334    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 N        | 160,000,000  | 2020/06/12 | 2021/02/25 | 40.00          |
| 65347    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 O        | 160,000,000  | 2020/06/12 | 2021/02/25 | 40.00          |
| 65350    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 P        | 160,000,000  | 2020/06/12 | 2021/02/25 | 40.00          |
| 65416    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 W        | 160,000,000  | 2020/06/12 | 2021/02/25 | 40.00          |
| 65419    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 Z        | 160,000,000  | 2020/06/12 | 2021/02/25 | 40.00          |
| 65397    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 L    | 60,000,000   | 2020/06/12 | 2020/10/30 | 15.00          |
| 65405    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Aug 2021 D    | 60,000,000   | 2020/06/12 | 2021/08/31 | 15.00          |
| 65362    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Oct 2020 I     | 60,000,000   | 2020/06/12 | 2020/10/30 | 15.00          |
| 64087    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 J              | 40,000,000   | 2020/06/12 | 2020/11/02 | 10.00          |
| 64058    | HK Bank - HKEX R Bear CBBC Nov 2020 E                       | 100,000,000  | 2020/06/12 | 2020/11/26 | 25.00          |
| 64045    | HK Bank - HSI R Bull CBBC May 2022 I                        | 100,000,000  | 2020/06/12 | 2022/05/30 | 25.00          |
| 64050    | HK Bank - HSI R Bull CBBC May 2022 J                        | 60,000,000   | 2020/06/12 | 2022/05/30 | 15.00          |
| 64247    | HK Bank - HSI R Bull CBBC May 2022 K                        | 60,000,000   | 2020/06/12 | 2022/05/30 | 15.00          |
| 64057    | HK Bank - HSI R Bear CBBC Oct 2020 M                        | 80,000,000   | 2020/06/12 | 2020/10/29 | 20.00          |
| 64089    | HK Bank - Meituan Dianping R Bull CBBC Nov 2020 I           | 40,000,000   | 2020/06/12 | 2020/11/26 | 10.00          |
| 64090    | HK Bank - Meituan Dianping R Bear CBBC Dec 2020 C           | 100,000,000  | 2020/06/12 | 2020/12/21 | 25.00          |
| 64101    | HK Bank - SMIC R Bull CBBC Oct 2020 E                       | 40,000,000   | 2020/06/12 | 2020/10/22 | 10.00          |
| 64114    | HK Bank - Tencent R Bear CBBC Oct 2020 K                    | 40,000,000   | 2020/06/12 | 2020/10/22 | 10.00          |
| 64048    | HK Bank - Xiaomi R Bull CBBC Nov 2020 F                     | 40,000,000   | 2020/06/12 | 2020/11/23 | 10.00          |
| 65024    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Dec 2020 G    | 60,000,000   | 2020/06/12 | 2020/12/31 | 15.00          |
| 64951    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 R              | 150,000,000  | 2020/06/12 | 2023/03/30 | 37.50          |
| 64956    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 S              | 150,000,000  | 2020/06/12 | 2023/03/30 | 37.50          |
| 64992    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 T              | 150,000,000  | 2020/06/12 | 2023/03/30 | 37.50          |
| 65015    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 U              | 150,000,000  | 2020/06/12 | 2023/03/30 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 64935    | Haitong Int'l Sec - HSI R Bear CBBC Feb 2021 D             | 200,000,000  | 2020/06/12 | 2021/02/25 | 50.00          |
| 64938    | Haitong Int'l Sec - HSI R Bear CBBC Feb 2021 E             | 150,000,000  | 2020/06/12 | 2021/02/25 | 37.50          |
| 64940    | Haitong Int'l Sec - HSI R Bear CBBC Feb 2021 F             | 200,000,000  | 2020/06/12 | 2021/02/25 | 50.00          |
| 65020    | Haitong Int'l Sec - Tencent R Bull CBBC Nov 2020 Q         | 60,000,000   | 2020/06/12 | 2020/11/27 | 15.00          |
| 65028    | Haitong Int'l Sec - Xiaomi R Bull CBBC Nov 2020 B          | 60,000,000   | 2020/06/12 | 2020/11/27 | 15.00          |
| 64717    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 E              | 200,000,000  | 2020/06/12 | 2023/02/27 | 50.00          |
| 64723    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 G              | 240,000,000  | 2020/06/12 | 2023/02/27 | 60.00          |
| 64574    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 W              | 200,000,000  | 2020/06/12 | 2023/02/27 | 50.00          |
| 64733    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 X              | 200,000,000  | 2020/06/12 | 2023/02/27 | 50.00          |
| 64695    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 M              | 200,000,000  | 2020/06/12 | 2023/03/30 | 50.00          |
| 64557    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 E              | 200,000,000  | 2020/06/12 | 2023/04/27 | 50.00          |
| 64710    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 F              | 200,000,000  | 2020/06/12 | 2023/04/27 | 50.00          |
| 64697    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 S              | 200,000,000  | 2020/06/12 | 2023/09/28 | 50.00          |
| 64606    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 A              | 240,000,000  | 2020/06/12 | 2020/12/30 | 60.00          |
| 64688    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 G              | 200,000,000  | 2020/06/12 | 2020/12/30 | 50.00          |
| 64585    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 Z              | 200,000,000  | 2020/06/12 | 2020/12/30 | 50.00          |
| 64640    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 A              | 200,000,000  | 2020/06/12 | 2021/01/28 | 50.00          |
| 64586    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 W              | 200,000,000  | 2020/06/12 | 2021/01/28 | 50.00          |
| 64613    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 X              | 200,000,000  | 2020/06/12 | 2021/01/28 | 50.00          |
| 64584    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 J              | 200,000,000  | 2020/06/12 | 2021/02/25 | 50.00          |
| 64683    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 K              | 200,000,000  | 2020/06/12 | 2021/02/25 | 50.00          |
| 64654    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Dec 2020 D | 80,000,000   | 2020/06/12 | 2020/12/18 | 22.80          |
| 64681    | J P Morgan SP BV - Xiaomi R Bull CBBC Jan 2021 A           | 100,000,000  | 2020/06/12 | 2021/01/15 | 25.00          |
| 65121    | Morgan Stanley Asia Products - HSI R Bull CBBC Feb 2023 O  | 150,000,000  | 2020/06/12 | 2023/02/27 | 37.50          |
| 65122    | Morgan Stanley Asia Products - HSI R Bull CBBC Mar 2023 H  | 150,000,000  | 2020/06/12 | 2023/03/30 | 37.50          |
| 64238    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 I  | 150,000,000  | 2020/06/12 | 2020/09/29 | 37.50          |
| 64243    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 E  | 150,000,000  | 2020/06/12 | 2020/10/29 | 37.50          |
| 64135    | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 L  | 150,000,000  | 2020/06/12 | 2020/11/27 | 37.50          |
| 65782    | SG Issuer - AIA R Bull CBBC Dec 2020 S                     | 60,000,000   | 2020/06/12 | 2020/12/31 | 15.00          |
| 65626    | SG Issuer - Alibaba Group R Bear CBBC Feb 2021 E           | 80,000,000   | 2020/06/12 | 2021/02/25 | 20.00          |
| 65783    | SG Issuer - Galaxy Ent R Bull CBBC Nov 2020 H              | 100,000,000  | 2020/06/12 | 2020/11/30 | 25.00          |
| 65647    | SG Issuer - HKEX R Bear CBBC Dec 2020 N                    | 50,000,000   | 2020/06/12 | 2020/12/30 | 12.50          |
| 65760    | SG Issuer - HSI R Bull CBBC Feb 2023 S                     | 250,000,000  | 2020/06/12 | 2023/02/27 | 62.50          |
| 65778    | SG Issuer - HSI R Bull CBBC Feb 2023 X                     | 250,000,000  | 2020/06/12 | 2023/02/27 | 62.50          |
| 65580    | SG Issuer - HSI R Bull CBBC Mar 2023 K                     | 250,000,000  | 2020/06/12 | 2023/03/30 | 62.50          |
| 65780    | SG Issuer - HSI R Bull CBBC Apr 2023 B                     | 250,000,000  | 2020/06/12 | 2023/04/27 | 62.50          |
| 65588    | SG Issuer - HSI R Bull CBBC May 2023 N                     | 250,000,000  | 2020/06/12 | 2023/05/30 | 62.50          |
| 65701    | SG Issuer - HSI R Bear CBBC Oct 2020 E                     | 250,000,000  | 2020/06/12 | 2020/10/29 | 62.50          |
| 65566    | SG Issuer - HSI R Bear CBBC Oct 2020 H                     | 250,000,000  | 2020/06/12 | 2020/10/29 | 62.50          |
| 65688    | SG Issuer - HSI R Bear CBBC Dec 2020 Q                     | 250,000,000  | 2020/06/12 | 2020/12/30 | 62.50          |
| 65689    | SG Issuer - HSI R Bear CBBC Jan 2021 C                     | 250,000,000  | 2020/06/12 | 2021/01/28 | 62.50          |
| 65705    | SG Issuer - HSI R Bear CBBC Jan 2021 D                     | 250,000,000  | 2020/06/12 | 2021/01/28 | 62.50          |
| 65755    | SG Issuer - HSI R Bear CBBC Jan 2021 F                     | 250,000,000  | 2020/06/12 | 2021/01/28 | 62.50          |
| 65600    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 J        | 100,000,000  | 2020/06/12 | 2021/01/29 | 25.00          |
| 65659    | SG Issuer - Meituan Dianping R Bear CBBC Mar 2021 B        | 100,000,000  | 2020/06/12 | 2021/03/31 | 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 65694    | SG Issuer - SMIC R Bear CBBC Dec 2020 F                 | 100,000,000  | 2020/06/12 | 2020/12/31 | 25.00          |
| 65664    | SG Issuer - SUNAC R Bull CBBC Apr 2021 B                | 80,000,000   | 2020/06/12 | 2021/04/30 | 20.00          |
| 65698    | SG Issuer - Sunny Optical R Bear CBBC Jan 2021 D        | 60,000,000   | 2020/06/12 | 2021/01/27 | 15.00          |
| 65606    | SG Issuer - Tencent R Bull CBBC Jan 2021 J              | 80,000,000   | 2020/06/12 | 2021/01/29 | 20.00          |
| 65619    | SG Issuer - Tencent R Bull CBBC Jan 2021 K              | 80,000,000   | 2020/06/12 | 2021/01/29 | 20.00          |
| 65668    | SG Issuer - Tencent R Bear CBBC Jan 2021 X              | 80,000,000   | 2020/06/12 | 2021/01/28 | 20.00          |
| 64536    | UBS AG - AIA R Bull CBBC Mar 2021 A                     | 80,000,000   | 2020/06/12 | 2021/03/22 | 20.00          |
| 64460    | UBS AG - AIA R Bear CBBC Jan 2021 B                     | 50,000,000   | 2020/06/12 | 2021/01/08 | 12.50          |
| 64394    | UBS AG - Alibaba Group R Bull CBBC Jan 2021 E           | 80,000,000   | 2020/06/12 | 2021/01/08 | 20.00          |
| 64399    | UBS AG - Alibaba Group R Bull CBBC Mar 2021 E           | 400,000,000  | 2020/06/12 | 2021/03/22 | 100.00         |
| 64459    | UBS AG - CSOP A50 ETF R Bull CBBC Mar 2021 A            | 40,000,000   | 2020/06/12 | 2021/03/22 | 10.00          |
| 64550    | UBS AG - HKEX R Bear CBBC Mar 2021 A                    | 50,000,000   | 2020/06/12 | 2021/03/22 | 21.50          |
| 64531    | UBS AG - HSBC R Bull CBBC Mar 2021 D                    | 150,000,000  | 2020/06/12 | 2021/03/22 | 37.50          |
| 64504    | UBS AG - HSI R Bull CBBC Mar 2023 C                     | 200,000,000  | 2020/06/12 | 2023/03/30 | 50.00          |
| 64512    | UBS AG - HSI R Bull CBBC Mar 2023 E                     | 200,000,000  | 2020/06/12 | 2023/03/30 | 50.00          |
| 64495    | UBS AG - HSI R Bull CBBC Mar 2023 V                     | 200,000,000  | 2020/06/12 | 2023/03/30 | 50.00          |
| 64477    | UBS AG - HSI R Bear CBBC Sep 2020 L                     | 200,000,000  | 2020/06/12 | 2020/09/29 | 50.00          |
| 64484    | UBS AG - HSI R Bear CBBC Sep 2020 N                     | 200,000,000  | 2020/06/12 | 2020/09/29 | 50.00          |
| 64490    | UBS AG - HSI R Bear CBBC Sep 2020 O                     | 300,000,000  | 2020/06/12 | 2020/09/29 | 75.00          |
| 64491    | UBS AG - HSI R Bear CBBC Sep 2020 Q                     | 200,000,000  | 2020/06/12 | 2020/09/29 | 50.00          |
| 64470    | UBS AG - HSI R Bear CBBC Sep 2020 W                     | 200,000,000  | 2020/06/12 | 2020/09/29 | 50.00          |
| 64493    | UBS AG - HSI R Bear CBBC Sep 2020 X                     | 200,000,000  | 2020/06/12 | 2020/09/29 | 50.00          |
| 64386    | UBS AG - Meituan Dianping R Bull CBBC Jan 2021 I        | 50,000,000   | 2020/06/12 | 2021/01/08 | 12.50          |
| 64266    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 I        | 50,000,000   | 2020/06/12 | 2020/12/28 | 12.50          |
| 64284    | UBS AG - Meituan Dianping R Bear CBBC Jan 2021 H        | 200,000,000  | 2020/06/12 | 2021/01/08 | 50.00          |
| 64452    | UBS AG - Ping An R Bull CBBC Mar 2021 A                 | 100,000,000  | 2020/06/12 | 2021/03/22 | 25.00          |
| 64474    | UBS AG - Sunny Optical R Bear CBBC Feb 2021 C           | 30,000,000   | 2020/06/12 | 2021/02/04 | 10.20          |
| 64391    | UBS AG - Tencent R Bull CBBC Jan 2021 N                 | 40,000,000   | 2020/06/12 | 2021/01/08 | 10.00          |
| 64473    | UBS AG - Tencent R Bear CBBC Dec 2020 J                 | 40,000,000   | 2020/06/12 | 2020/12/30 | 10.00          |
| 65114    | Bank Vontobel - CSOP A50 ETF R Bull CBBC Jan 2021 A     | 40,000,000   | 2020/06/12 | 2021/01/15 | 10.00          |
| 65055    | Bank Vontobel - HSI N Bull CBBC Dec 2022 C              | 40,000,000   | 2020/06/12 | 2022/12/29 | 10.00          |
| 65099    | Bank Vontobel - HSI N Bear CBBC Dec 2020 Y              | 40,000,000   | 2020/06/12 | 2020/12/30 | 10.00          |
| 65066    | Bank Vontobel - HSI R Bull CBBC Sep 2022 B              | 80,000,000   | 2020/06/12 | 2022/09/29 | 20.00          |
| 65074    | Bank Vontobel - HSI R Bull CBBC Sep 2022 C              | 80,000,000   | 2020/06/12 | 2022/09/29 | 20.00          |
| 65109    | Bank Vontobel - HSI R Bull CBBC Sep 2022 D              | 80,000,000   | 2020/06/12 | 2022/09/29 | 20.00          |
| 65045    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 P | 60,000,000   | 2020/06/12 | 2021/01/15 | 15.00          |
| 65039    | Bank Vontobel - Meituan Dianping R Bull CBBC Mar 2021 E | 60,000,000   | 2020/06/12 | 2021/03/05 | 15.00          |
| 65061    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 M | 60,000,000   | 2020/06/12 | 2021/01/15 | 15.00          |
| 65088    | Bank Vontobel - Sunny Optical R Bull CBBC Jan 2021 A    | 40,000,000   | 2020/06/12 | 2021/01/15 | 10.00          |
| 65068    | Bank Vontobel - Xiaomi R Bull CBBC Jan 2021 E           | 40,000,000   | 2020/06/12 | 2021/01/15 | 10.00          |
| 66093    | BOCI Asia Ltd. - Galaxy Ent R Bull CBBC Dec 2020 A      | 100,000,000  | 2020/06/15 | 2020/12/30 | 25.00          |
| 66050    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 M             | 150,000,000  | 2020/06/15 | 2023/01/30 | 37.50          |
| 66058    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 N             | 150,000,000  | 2020/06/15 | 2023/01/30 | 37.50          |
| 66077    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 G             | 150,000,000  | 2020/06/15 | 2020/10/29 | 37.50          |
| 66084    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 X             | 150,000,000  | 2020/06/15 | 2020/10/29 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 66087    | BOCI Asia Ltd. - Ping An R Bull CBBC Sep 2020 P            | 60,000,000   | 2020/06/15 | 2020/09/29 | 15.00          |
| 66734    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 M     | 200,000,000  | 2020/06/15 | 2022/11/29 | 50.00          |
| 66783    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 N     | 190,000,000  | 2020/06/15 | 2022/11/29 | 47.50          |
| 66792    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 A     | 250,000,000  | 2020/06/15 | 2020/11/27 | 62.50          |
| 66731    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 C     | 250,000,000  | 2020/06/15 | 2020/11/27 | 62.50          |
| 66732    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 X     | 250,000,000  | 2020/06/15 | 2020/11/27 | 62.50          |
| 66591    | Credit Suisse AG - Geely Auto R Bull CBBC Nov 2020 A       | 40,000,000   | 2020/06/15 | 2020/11/27 | 10.00          |
| 66614    | Credit Suisse AG - HKEX R Bull CBBC Nov 2020 F             | 50,000,000   | 2020/06/15 | 2020/11/27 | 12.50          |
| 66664    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 L              | 200,000,000  | 2020/06/15 | 2023/02/27 | 50.00          |
| 66669    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 M              | 200,000,000  | 2020/06/15 | 2023/02/27 | 50.00          |
| 66702    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 N              | 200,000,000  | 2020/06/15 | 2023/02/27 | 50.00          |
| 66687    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 R              | 200,000,000  | 2020/06/15 | 2023/02/27 | 50.00          |
| 66571    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 M              | 200,000,000  | 2020/06/15 | 2020/10/29 | 50.00          |
| 66587    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 O              | 200,000,000  | 2020/06/15 | 2020/10/29 | 50.00          |
| 66589    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 F              | 200,000,000  | 2020/06/15 | 2020/11/27 | 50.00          |
| 66577    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 X              | 200,000,000  | 2020/06/15 | 2020/11/27 | 50.00          |
| 66590    | Credit Suisse AG - Meituan Dianping R Bull CBBC May 2021 A | 150,000,000  | 2020/06/15 | 2021/05/28 | 37.50          |
| 66662    | Credit Suisse AG - Sands China R Bear CBBC Dec 2020 C      | 60,000,000   | 2020/06/15 | 2020/12/30 | 15.00          |
| 66647    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 J             | 100,000,000  | 2020/06/15 | 2021/01/22 | 25.00          |
| 66717    | Credit Suisse AG - Tencent R Bull CBBC Nov 2020 P          | 50,000,000   | 2020/06/15 | 2020/11/27 | 12.50          |
| 66727    | Credit Suisse AG - Xiaomi R Bull CBBC Oct 2020 G           | 50,000,000   | 2020/06/15 | 2020/10/29 | 12.50          |
| 66996    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 G   | 60,000,000   | 2020/06/15 | 2020/10/30 | 15.00          |
| 66997    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Jun 2021 I      | 80,000,000   | 2020/06/15 | 2021/06/30 | 20.00          |
| 67054    | Goldman Sachs SP (Asia) - HSBC R Bull CBBC Mar 2021 C      | 60,000,000   | 2020/06/15 | 2021/03/30 | 15.00          |
| 66931    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 M       | 160,000,000  | 2020/06/15 | 2023/07/28 | 40.00          |
| 66988    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 N       | 160,000,000  | 2020/06/15 | 2023/07/28 | 40.00          |
| 67057    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 O       | 160,000,000  | 2020/06/15 | 2023/07/28 | 40.00          |
| 67071    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 P       | 160,000,000  | 2020/06/15 | 2023/07/28 | 40.00          |
| 67072    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Jul 2023 Q       | 160,000,000  | 2020/06/15 | 2023/07/28 | 40.00          |
| 66938    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 F       | 160,000,000  | 2020/06/15 | 2021/02/25 | 40.00          |
| 66945    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 H       | 160,000,000  | 2020/06/15 | 2021/02/25 | 40.00          |
| 67074    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 J       | 160,000,000  | 2020/06/15 | 2021/02/25 | 40.00          |
| 67076    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 K       | 160,000,000  | 2020/06/15 | 2021/02/25 | 40.00          |
| 66989    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 M   | 60,000,000   | 2020/06/15 | 2020/10/30 | 15.00          |
| 67013    | Goldman Sachs SP (Asia) - Ping An R Bull CBBC Mar 2021 D   | 80,000,000   | 2020/06/15 | 2021/03/31 | 20.00          |
| 67000    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Jun 2021 E   | 60,000,000   | 2020/06/15 | 2021/06/30 | 15.00          |
| 65888    | HK Bank - AAC Tech R Bull CBBC Jan 2021 C                  | 40,000,000   | 2020/06/15 | 2021/01/04 | 10.00          |
| 65892    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 K             | 40,000,000   | 2020/06/15 | 2020/11/12 | 10.00          |
| 65904    | HK Bank - HKEX R Bull CBBC Nov 2020 L                      | 40,000,000   | 2020/06/15 | 2020/11/02 | 10.00          |
| 65905    | HK Bank - HKEX R Bear CBBC Dec 2020 C                      | 100,000,000  | 2020/06/15 | 2020/12/21 | 25.00          |
| 65811    | HK Bank - HSI R Bull CBBC May 2022 L                       | 100,000,000  | 2020/06/15 | 2022/05/30 | 25.00          |
| 65814    | HK Bank - HSI R Bull CBBC May 2022 M                       | 100,000,000  | 2020/06/15 | 2022/05/30 | 25.00          |
| 65816    | HK Bank - HSI R Bull CBBC May 2022 N                       | 60,000,000   | 2020/06/15 | 2022/05/30 | 15.00          |
| 65801    | HK Bank - HSI R Bear CBBC Oct 2020 N                       | 60,000,000   | 2020/06/15 | 2020/10/29 | 15.00          |
| 65823    | HK Bank - HSI R Bear CBBC Oct 2020 O                       | 100,000,000  | 2020/06/15 | 2020/10/29 | 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) |
|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 65878    | HK Bank - HSI R Bear CBBC Oct 2020 P                      | 100,000,000  | 2020/06/15 | 2020/10/29 | 25.00          |
| 65891    | HK Bank - Meituan Dianping R Bear CBBC Oct 2020 F         | 40,000,000   | 2020/06/15 | 2020/10/12 | 10.00          |
| 65915    | HK Bank - Ping An R Bear CBBC Nov 2020 A                  | 50,000,000   | 2020/06/15 | 2020/11/09 | 12.50          |
| 65938    | HK Bank - Sands China R Bull CBBC Nov 2020 D              | 40,000,000   | 2020/06/15 | 2020/11/09 | 10.00          |
| 65958    | HK Bank - Sands China R Bear CBBC Jan 2021 A              | 40,000,000   | 2020/06/15 | 2021/01/04 | 10.00          |
| 65908    | HK Bank - SUNAC R Bull CBBC Nov 2020 E                    | 40,000,000   | 2020/06/15 | 2020/11/09 | 10.00          |
| 65906    | HK Bank - Sunny Optical R Bull CBBC Nov 2020 E            | 40,000,000   | 2020/06/15 | 2020/11/09 | 10.00          |
| 66841    | Haitong Int'l Sec - AIA R Bull CBBC Dec 2020 D            | 80,000,000   | 2020/06/15 | 2020/12/31 | 20.00          |
| 66849    | Haitong Int'l Sec - China Life R Bull CBBC Apr 2021 A     | 80,000,000   | 2020/06/15 | 2021/04/29 | 20.00          |
| 66862    | Haitong Int'l Sec - HSBC R Bull CBBC Apr 2021 B           | 60,000,000   | 2020/06/15 | 2021/04/29 | 15.00          |
| 66864    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 E            | 150,000,000  | 2020/06/15 | 2023/05/30 | 37.50          |
| 66865    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 F            | 300,000,000  | 2020/06/15 | 2023/05/30 | 75.00          |
| 66928    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 G            | 200,000,000  | 2020/06/15 | 2023/05/30 | 50.00          |
| 66811    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 H            | 150,000,000  | 2020/06/15 | 2020/12/30 | 37.50          |
| 66815    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 Z            | 200,000,000  | 2020/06/15 | 2021/01/28 | 50.00          |
| 66854    | Haitong Int'l Sec - Ping An R Bull CBBC Mar 2021 A        | 60,000,000   | 2020/06/15 | 2021/03/22 | 15.00          |
| 66267    | J P Morgan SP BV - Alibaba Group R Bull CBBC Dec 2020 G   | 80,000,000   | 2020/06/15 | 2020/12/18 | 20.00          |
| 66270    | J P Morgan SP BV - HKEX R Bear CBBC Dec 2020 C            | 40,000,000   | 2020/06/15 | 2020/12/11 | 10.00          |
| 66257    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 A             | 200,000,000  | 2020/06/15 | 2023/02/27 | 50.00          |
| 66212    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Y             | 200,000,000  | 2020/06/15 | 2023/02/27 | 50.00          |
| 66256    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Z             | 240,000,000  | 2020/06/15 | 2023/02/27 | 60.00          |
| 66227    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 N             | 200,000,000  | 2020/06/15 | 2023/03/30 | 50.00          |
| 66246    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 Y             | 200,000,000  | 2020/06/15 | 2023/03/30 | 50.00          |
| 66261    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 T             | 200,000,000  | 2020/06/15 | 2023/09/28 | 50.00          |
| 66310    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 H             | 200,000,000  | 2020/06/15 | 2020/11/27 | 50.00          |
| 66182    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 I             | 200,000,000  | 2020/06/15 | 2020/11/27 | 50.00          |
| 66206    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 K             | 200,000,000  | 2020/06/15 | 2020/12/30 | 50.00          |
| 66287    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 M             | 200,000,000  | 2020/06/15 | 2020/12/30 | 50.00          |
| 66272    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 Y             | 200,000,000  | 2020/06/15 | 2020/12/30 | 50.00          |
| 66312    | Morgan Stanley Asia Products - HSI R Bull CBBC Jan 2023 Q | 150,000,000  | 2020/06/15 | 2023/01/30 | 37.50          |
| 65791    | Morgan Stanley Asia Products - HSI R Bear CBBC Jan 2021 B | 150,000,000  | 2020/06/15 | 2021/01/28 | 37.50          |
| 65799    | Morgan Stanley Asia Products - HSI R Bear CBBC Jan 2021 C | 150,000,000  | 2020/06/15 | 2021/01/28 | 37.50          |
| 67417    | SG Issuer - AAC Tech R Bull CBBC Jan 2021 C               | 100,000,000  | 2020/06/15 | 2021/01/29 | 25.00          |
| 67425    | SG Issuer - Alibaba Group R Bull CBBC Jan 2021 F          | 60,000,000   | 2020/06/15 | 2021/01/29 | 15.00          |
| 67433    | SG Issuer - Alibaba Group R Bull CBBC Jan 2021 G          | 60,000,000   | 2020/06/15 | 2021/01/29 | 15.00          |
| 67148    | SG Issuer - China Life R Bull CBBC Dec 2020 D             | 40,000,000   | 2020/06/15 | 2020/12/31 | 10.00          |
| 67443    | SG Issuer - China Life R Bull CBBC Mar 2021 B             | 150,000,000  | 2020/06/15 | 2021/03/30 | 37.50          |
| 67151    | SG Issuer - HKEX R Bull CBBC Jan 2021 F                   | 50,000,000   | 2020/06/15 | 2021/01/29 | 12.50          |
| 67181    | SG Issuer - HSI R Bull CBBC Apr 2023 V                    | 500,000,000  | 2020/06/15 | 2023/04/27 | 125.00         |
| 67239    | SG Issuer - HSI R Bull CBBC May 2023 F                    | 250,000,000  | 2020/06/15 | 2023/05/30 | 62.50          |
| 67362    | SG Issuer - HSI R Bull CBBC Jun 2023 U                    | 250,000,000  | 2020/06/15 | 2023/06/29 | 62.50          |
| 67373    | SG Issuer - HSI R Bull CBBC Sep 2023 A                    | 250,000,000  | 2020/06/15 | 2023/09/28 | 62.50          |
| 67376    | SG Issuer - HSI R Bull CBBC Sep 2023 B                    | 250,000,000  | 2020/06/15 | 2023/09/28 | 62.50          |
| 67404    | SG Issuer - HSI R Bull CBBC Sep 2023 C                    | 250,000,000  | 2020/06/15 | 2023/09/28 | 62.50          |
| 67123    | SG Issuer - HSI R Bear CBBC Sep 2020 B                    | 250,000,000  | 2020/06/15 | 2020/09/29 | 62.50          |



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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 67270    | SG Issuer - HSI R Bear CBBC Oct 2020 C                  | 250,000,000  | 2020/06/15 | 2020/10/29 | 62.50          |
| 67242    | SG Issuer - HSI R Bear CBBC Oct 2020 G                  | 250,000,000  | 2020/06/15 | 2020/10/29 | 62.50          |
| 67262    | SG Issuer - HSI R Bear CBBC Oct 2020 I                  | 250,000,000  | 2020/06/15 | 2020/10/29 | 62.50          |
| 67342    | SG Issuer - HSI R Bear CBBC Nov 2020 A                  | 250,000,000  | 2020/06/15 | 2020/11/27 | 62.50          |
| 67295    | SG Issuer - HSI R Bear CBBC Nov 2020 L                  | 250,000,000  | 2020/06/15 | 2020/11/27 | 62.50          |
| 67301    | SG Issuer - HSI R Bear CBBC Nov 2020 T                  | 250,000,000  | 2020/06/15 | 2020/11/27 | 62.50          |
| 67306    | SG Issuer - HSI R Bear CBBC Nov 2020 V                  | 250,000,000  | 2020/06/15 | 2020/11/27 | 62.50          |
| 67341    | SG Issuer - HSI R Bear CBBC Nov 2020 Z                  | 250,000,000  | 2020/06/15 | 2020/11/27 | 62.50          |
| 67350    | SG Issuer - HSI R Bear CBBC Jan 2021 G                  | 250,000,000  | 2020/06/15 | 2021/01/28 | 62.50          |
| 67098    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 K     | 100,000,000  | 2020/06/15 | 2021/01/29 | 25.00          |
| 67471    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 L     | 100,000,000  | 2020/06/15 | 2021/01/29 | 25.00          |
| 67154    | SG Issuer - Ping An R Bull CBBC Jan 2021 J              | 100,000,000  | 2020/06/15 | 2021/01/29 | 25.00          |
| 67113    | SG Issuer - Ping An R Bull CBBC Feb 2021 H              | 100,000,000  | 2020/06/15 | 2021/02/26 | 25.00          |
| 67173    | SG Issuer - SMIC R Bull CBBC Jan 2021 C                 | 120,000,000  | 2020/06/15 | 2021/01/29 | 30.00          |
| 67120    | SG Issuer - Tencent R Bull CBBC Jan 2021 L              | 80,000,000   | 2020/06/15 | 2021/01/29 | 20.00          |
| 67177    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 N               | 60,000,000   | 2020/06/15 | 2020/12/31 | 15.00          |
| 66112    | UBS AG - CNOOC R Bull CBBC Feb 2021 A                   | 40,000,000   | 2020/06/15 | 2021/02/26 | 10.00          |
| 66123    | UBS AG - HKEX R Bull CBBC Mar 2021 C                    | 50,000,000   | 2020/06/15 | 2021/03/31 | 12.50          |
| 66139    | UBS AG - HSI R Bull CBBC Feb 2023 W                     | 200,000,000  | 2020/06/15 | 2023/02/27 | 50.00          |
| 66145    | UBS AG - HSI R Bull CBBC Feb 2023 X                     | 200,000,000  | 2020/06/15 | 2023/02/27 | 50.00          |
| 66146    | UBS AG - HSI R Bull CBBC Feb 2023 Z                     | 200,000,000  | 2020/06/15 | 2023/02/27 | 50.00          |
| 66166    | UBS AG - HSI R Bear CBBC Sep 2020 P                     | 200,000,000  | 2020/06/15 | 2020/09/29 | 50.00          |
| 66097    | UBS AG - HSI R Bear CBBC Sep 2020 R                     | 200,000,000  | 2020/06/15 | 2020/09/29 | 50.00          |
| 66104    | UBS AG - HSI R Bear CBBC Sep 2020 S                     | 200,000,000  | 2020/06/15 | 2020/09/29 | 50.00          |
| 66150    | UBS AG - HSI R Bear CBBC Sep 2020 Y                     | 200,000,000  | 2020/06/15 | 2020/09/29 | 50.00          |
| 66108    | UBS AG - SMIC R Bull CBBC Feb 2021 B                    | 100,000,000  | 2020/06/15 | 2021/02/26 | 25.00          |
| 66106    | UBS AG - SMIC R Bull CBBC Mar 2021 A                    | 100,000,000  | 2020/06/15 | 2021/03/31 | 25.00          |
| 66110    | UBS AG - SMIC R Bear CBBC Feb 2021 B                    | 100,000,000  | 2020/06/15 | 2021/02/26 | 25.00          |
| 66325    | Bank Vontobel - Alibaba Group R Bull CBBC Mar 2021 A    | 40,000,000   | 2020/06/15 | 2021/03/05 | 10.00          |
| 66532    | Bank Vontobel - China Life R Bull CBBC Mar 2021 F       | 80,000,000   | 2020/06/15 | 2021/03/19 | 20.00          |
| 66424    | Bank Vontobel - CNOOC R Bull CBBC Feb 2021 A            | 40,000,000   | 2020/06/15 | 2021/02/19 | 10.00          |
| 66435    | Bank Vontobel - Geely Auto R Bull CBBC Mar 2021 A       | 40,000,000   | 2020/06/15 | 2021/03/05 | 10.00          |
| 66516    | Bank Vontobel - HKEX R Bear CBBC Jan 2021 B             | 40,000,000   | 2020/06/15 | 2021/01/15 | 10.00          |
| 66503    | Bank Vontobel - HSBC R Bull CBBC Feb 2021 C             | 40,000,000   | 2020/06/15 | 2021/02/19 | 10.00          |
| 66442    | Bank Vontobel - HSI R Bull CBBC Sep 2022 E              | 80,000,000   | 2020/06/15 | 2022/09/29 | 20.00          |
| 66463    | Bank Vontobel - HSI R Bull CBBC Sep 2022 F              | 80,000,000   | 2020/06/15 | 2022/09/29 | 20.00          |
| 66474    | Bank Vontobel - HSI R Bear CBBC Dec 2020 Z              | 80,000,000   | 2020/06/15 | 2020/12/30 | 20.00          |
| 66546    | Bank Vontobel - Meituan Dianping R Bull CBBC Mar 2021 F | 60,000,000   | 2020/06/15 | 2021/03/05 | 15.00          |
| 66337    | Bank Vontobel - Sands China R Bull CBBC Feb 2021 C      | 40,000,000   | 2020/06/15 | 2021/02/19 | 10.00          |
| 66320    | Bank Vontobel - Xiaomi R Bear CBBC Jan 2021 B           | 40,000,000   | 2020/06/15 | 2021/01/08 | 10.00          |
| 67891    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 U   | 60,000,000   | 2020/06/16 | 2020/12/31 | 15.00          |
| 67895    | BOCI Asia Ltd. - China Life R Bull CBBC Dec 2020 B      | 40,000,000   | 2020/06/16 | 2020/12/31 | 10.00          |
| 67931    | BOCI Asia Ltd. - HSBC R Bull CBBC Dec 2020 C            | 40,000,000   | 2020/06/16 | 2020/12/31 | 10.00          |
| 67780    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 O             | 150,000,000  | 2020/06/16 | 2023/01/30 | 37.50          |
| 67859    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 P             | 150,000,000  | 2020/06/16 | 2023/01/30 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 67863    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 Q                | 150,000,000  | 2020/06/16 | 2023/01/30 | 37.50          |
| 67876    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 F                | 150,000,000  | 2020/06/16 | 2020/10/29 | 37.50          |
| 67890    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 K                | 150,000,000  | 2020/06/16 | 2020/10/29 | 37.50          |
| 67754    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 A     | 200,000,000  | 2020/06/16 | 2022/11/29 | 50.00          |
| 68316    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 B     | 190,000,000  | 2020/06/16 | 2022/11/29 | 47.50          |
| 67726    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 O     | 200,000,000  | 2020/06/16 | 2022/11/29 | 50.00          |
| 67749    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 P     | 200,000,000  | 2020/06/16 | 2022/11/29 | 50.00          |
| 67752    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 Q     | 200,000,000  | 2020/06/16 | 2022/11/29 | 50.00          |
| 67698    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 B     | 250,000,000  | 2020/06/16 | 2020/11/27 | 62.50          |
| 67769    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 V     | 250,000,000  | 2020/06/16 | 2020/11/27 | 62.50          |
| 67705    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 Y     | 240,000,000  | 2020/06/16 | 2020/11/27 | 60.00          |
| 67719    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 Z     | 240,000,000  | 2020/06/16 | 2020/11/27 | 60.00          |
| 68470    | Credit Suisse AG - AIA R Bull CBBC Dec 2020 K              | 70,000,000   | 2020/06/16 | 2020/12/30 | 17.50          |
| 68462    | Credit Suisse AG - China Mobile R Bull CBBC Dec 2020 B     | 70,000,000   | 2020/06/16 | 2020/12/30 | 17.50          |
| 68439    | Credit Suisse AG - China Mobile R Bear CBBC Oct 2020 A     | 50,000,000   | 2020/06/16 | 2020/10/29 | 12.50          |
| 68486    | Credit Suisse AG - China Life R Bull CBBC Apr 2021 A       | 80,000,000   | 2020/06/16 | 2021/04/29 | 20.00          |
| 68437    | Credit Suisse AG - HKEX R Bear CBBC Dec 2020 E             | 100,000,000  | 2020/06/16 | 2020/12/30 | 25.00          |
| 68621    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 K              | 200,000,000  | 2020/06/16 | 2023/01/30 | 50.00          |
| 68627    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 L              | 200,000,000  | 2020/06/16 | 2023/01/30 | 50.00          |
| 68632    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 M              | 200,000,000  | 2020/06/16 | 2023/01/30 | 50.00          |
| 68583    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 J              | 200,000,000  | 2020/06/16 | 2023/03/30 | 50.00          |
| 68606    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 K              | 200,000,000  | 2020/06/16 | 2023/03/30 | 50.00          |
| 68609    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 L              | 200,000,000  | 2020/06/16 | 2023/03/30 | 50.00          |
| 68430    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 U              | 200,000,000  | 2020/06/16 | 2020/10/29 | 50.00          |
| 68535    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 X              | 200,000,000  | 2020/06/16 | 2020/10/29 | 50.00          |
| 68571    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 B              | 200,000,000  | 2020/06/16 | 2020/11/27 | 50.00          |
| 68428    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 I              | 200,000,000  | 2020/06/16 | 2020/11/27 | 50.00          |
| 68433    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 Q              | 200,000,000  | 2020/06/16 | 2020/11/27 | 50.00          |
| 68516    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 R              | 200,000,000  | 2020/06/16 | 2020/11/27 | 50.00          |
| 68557    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 T              | 200,000,000  | 2020/06/16 | 2020/11/27 | 50.00          |
| 68436    | Credit Suisse AG - Meituan Dianping R Bull CBBC Oct 2020 K | 80,000,000   | 2020/06/16 | 2020/10/29 | 20.00          |
| 68466    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 K             | 100,000,000  | 2020/06/16 | 2021/01/28 | 25.00          |
| 68484    | Credit Suisse AG - SUNAC R Bull CBBC Feb 2021 C            | 60,000,000   | 2020/06/16 | 2021/02/25 | 15.00          |
| 68464    | Credit Suisse AG - Tencent R Bull CBBC Nov 2020 Q          | 50,000,000   | 2020/06/16 | 2020/11/27 | 12.50          |
| 69129    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 A       | 160,000,000  | 2020/06/16 | 2023/09/28 | 40.00          |
| 69150    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 B       | 160,000,000  | 2020/06/16 | 2023/09/28 | 40.00          |
| 69153    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 C       | 160,000,000  | 2020/06/16 | 2023/09/28 | 40.00          |
| 69156    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 D       | 160,000,000  | 2020/06/16 | 2023/09/28 | 40.00          |
| 69163    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 E       | 160,000,000  | 2020/06/16 | 2023/09/28 | 40.00          |
| 69172    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 F       | 160,000,000  | 2020/06/16 | 2023/09/28 | 40.00          |
| 69185    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 G       | 160,000,000  | 2020/06/16 | 2023/09/28 | 40.00          |
| 69188    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 B       | 160,000,000  | 2020/06/16 | 2021/02/25 | 40.00          |
| 69116    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 G       | 160,000,000  | 2020/06/16 | 2021/02/25 | 40.00          |
| 69118    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 L       | 160,000,000  | 2020/06/16 | 2021/02/25 | 40.00          |
| 69123    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 U       | 160,000,000  | 2020/06/16 | 2021/02/25 | 40.00          |

# 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 69174    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 V        | 160,000,000  | 2020/06/16 | 2021/02/25 | 40.00          |
| 69108    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 X        | 160,000,000  | 2020/06/16 | 2021/02/25 | 40.00          |
| 69208    | Goldman Sachs SP (Asia) - Ping An R Bull CBBC Jun 2021 A    | 80,000,000   | 2020/06/16 | 2021/06/30 | 20.00          |
| 69195    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 M    | 60,000,000   | 2020/06/16 | 2020/10/30 | 15.00          |
| 69209    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Jun 2021 F    | 60,000,000   | 2020/06/16 | 2021/06/30 | 15.00          |
| 67647    | HK Bank - AIA R Bull CBBC Dec 2020 A                        | 40,000,000   | 2020/06/16 | 2020/12/14 | 10.00          |
| 67635    | HK Bank - AIA R Bear CBBC Nov 2020 A                        | 40,000,000   | 2020/06/16 | 2020/11/09 | 10.00          |
| 67483    | HK Bank - Alibaba Group R Bull CBBC Dec 2020 C              | 40,000,000   | 2020/06/16 | 2020/12/07 | 10.00          |
| 67596    | HK Bank - China Life R Bull CBBC Nov 2020 C                 | 40,000,000   | 2020/06/16 | 2020/11/16 | 10.00          |
| 67641    | HK Bank - Geely Auto R Bull CBBC Nov 2020 C                 | 40,000,000   | 2020/06/16 | 2020/11/16 | 10.00          |
| 67502    | HK Bank - HSCEI R Bull CBBC May 2022 B                      | 50,000,000   | 2020/06/16 | 2022/05/30 | 12.50          |
| 67564    | HK Bank - HSI R Bull CBBC May 2022 O                        | 60,000,000   | 2020/06/16 | 2022/05/30 | 15.00          |
| 67566    | HK Bank - HSI R Bull CBBC May 2022 P                        | 100,000,000  | 2020/06/16 | 2022/05/30 | 25.00          |
| 67473    | HK Bank - HSI R Bear CBBC Oct 2020 Q                        | 100,000,000  | 2020/06/16 | 2020/10/29 | 25.00          |
| 67517    | HK Bank - HSI R Bear CBBC Oct 2020 R                        | 100,000,000  | 2020/06/16 | 2020/10/29 | 25.00          |
| 67521    | HK Bank - HSI R Bear CBBC Oct 2020 S                        | 100,000,000  | 2020/06/16 | 2020/10/29 | 25.00          |
| 67667    | HK Bank - Link REIT R Bull CBBC Jan 2021 B                  | 40,000,000   | 2020/06/16 | 2021/01/25 | 10.00          |
| 67499    | HK Bank - Meituan Dianping R Bear CBBC Nov 2020 D           | 40,000,000   | 2020/06/16 | 2020/11/02 | 10.00          |
| 67589    | HK Bank - Ping An R Bull CBBC Nov 2020 F                    | 40,000,000   | 2020/06/16 | 2020/11/09 | 10.00          |
| 67650    | HK Bank - Sands China R Bull CBBC Nov 2020 E                | 40,000,000   | 2020/06/16 | 2020/11/02 | 10.00          |
| 67624    | HK Bank - Tencent R Bull CBBC Nov 2020 L                    | 40,000,000   | 2020/06/16 | 2020/11/09 | 10.00          |
| 67513    | HK Bank - Xiaomi R Bull CBBC Nov 2020 G                     | 40,000,000   | 2020/06/16 | 2020/11/09 | 10.00          |
| 69009    | Haitong Int'l Sec - HSI R Bull CBBC Sep 2023 A              | 150,000,000  | 2020/06/16 | 2023/09/28 | 37.50          |
| 69010    | Haitong Int'l Sec - HSI R Bull CBBC Sep 2023 B              | 150,000,000  | 2020/06/16 | 2023/09/28 | 37.50          |
| 69019    | Haitong Int'l Sec - HSI R Bull CBBC Sep 2023 C              | 200,000,000  | 2020/06/16 | 2023/09/28 | 50.00          |
| 68991    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 M              | 150,000,000  | 2020/06/16 | 2020/10/29 | 37.50          |
| 68999    | Haitong Int'l Sec - HSI R Bear CBBC Feb 2021 G              | 200,000,000  | 2020/06/16 | 2021/02/25 | 50.00          |
| 69024    | Haitong Int'l Sec - HSI R Bear CBBC Feb 2021 H              | 150,000,000  | 2020/06/16 | 2021/02/25 | 37.50          |
| 69008    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Jan 2021 D | 60,000,000   | 2020/06/16 | 2021/01/28 | 15.00          |
| 69000    | Haitong Int'l Sec - Tencent R Bull CBBC Jan 2021 D          | 60,000,000   | 2020/06/16 | 2021/01/27 | 15.00          |
| 69004    | Haitong Int'l Sec - Tencent R Bear CBBC Jan 2021 E          | 60,000,000   | 2020/06/16 | 2021/01/27 | 15.00          |
| 68354    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 F               | 200,000,000  | 2020/06/16 | 2023/02/27 | 50.00          |
| 68362    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 Q               | 200,000,000  | 2020/06/16 | 2023/03/30 | 50.00          |
| 68371    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 R               | 200,000,000  | 2020/06/16 | 2023/03/30 | 50.00          |
| 68374    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 A               | 200,000,000  | 2020/06/16 | 2023/04/27 | 50.00          |
| 68363    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 G               | 200,000,000  | 2020/06/16 | 2023/04/27 | 50.00          |
| 68373    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 U               | 200,000,000  | 2020/06/16 | 2023/09/28 | 50.00          |
| 68403    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 D               | 200,000,000  | 2020/06/16 | 2020/10/29 | 50.00          |
| 68387    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 L               | 200,000,000  | 2020/06/16 | 2020/10/29 | 50.00          |
| 68317    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 T               | 200,000,000  | 2020/06/16 | 2020/11/27 | 50.00          |
| 68335    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 V               | 200,000,000  | 2020/06/16 | 2020/11/27 | 50.00          |
| 68321    | J P Morgan SP BV - HSI R Bear CBBC Feb 2021 L               | 200,000,000  | 2020/06/16 | 2021/02/25 | 50.00          |
| 68408    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Jan 2021 D  | 80,000,000   | 2020/06/16 | 2021/01/15 | 20.00          |
| 69082    | Morgan Stanley Asia Products - HKEX R Bear CBBC Jan 2021 A  | 40,000,000   | 2020/06/16 | 2021/01/28 | 10.00          |
| 69093    | Morgan Stanley Asia Products - HSI R Bull CBBC Mar 2023 I   | 150,000,000  | 2020/06/16 | 2023/03/30 | 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 69094    | Morgan Stanley Asia Products - HSI R Bull CBBC May 2023 B    | 150,000,000  | 2020/06/16 | 2023/05/30 | 37.50          |
| 69025    | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 L    | 150,000,000  | 2020/06/16 | 2020/12/30 | 37.50          |
| 69034    | Morgan Stanley Asia Products - HSI R Bear CBBC Dec 2020 M    | 150,000,000  | 2020/06/16 | 2020/12/30 | 37.50          |
| 69038    | Morgan Stanley Asia Products - HSI R Bear CBBC Jan 2021 D    | 150,000,000  | 2020/06/16 | 2021/01/28 | 37.50          |
| 69045    | Morgan Stanley Asia Products - Meituan R Bear CBBC Feb2021 B | 40,000,000   | 2020/06/16 | 2021/02/01 | 10.00          |
| 69078    | Morgan Stanley Asia Products - Tencent R Bear CBBC Feb2021 D | 40,000,000   | 2020/06/16 | 2021/02/10 | 16.20          |
| 69051    | Morgan Stanley Asia Products - Tencent R Bear CBBC Mar2021 C | 40,000,000   | 2020/06/16 | 2021/03/31 | 18.36          |
| 68671    | SG Issuer - AIA R Bear CBBC Dec 2020 F                       | 60,000,000   | 2020/06/16 | 2020/12/30 | 15.00          |
| 68742    | SG Issuer - Alibaba Group R Bull CBBC Nov 2020 N             | 60,000,000   | 2020/06/16 | 2020/11/30 | 15.00          |
| 68745    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 N             | 60,000,000   | 2020/06/16 | 2021/01/28 | 15.00          |
| 68746    | SG Issuer - China Mobile R Bull CBBC Jan 2021 A              | 100,000,000  | 2020/06/16 | 2021/01/28 | 25.00          |
| 68978    | SG Issuer - China Life R Bear CBBC Feb 2021 C                | 40,000,000   | 2020/06/16 | 2021/02/25 | 10.00          |
| 68674    | SG Issuer - Galaxy Ent R Bear CBBC Feb 2021 B                | 100,000,000  | 2020/06/16 | 2021/02/25 | 25.00          |
| 68750    | SG Issuer - HKEX R Bull CBBC May 2021 A                      | 50,000,000   | 2020/06/16 | 2021/05/28 | 12.50          |
| 68976    | SG Issuer - HKEX R Bear CBBC Feb 2021 C                      | 50,000,000   | 2020/06/16 | 2021/02/25 | 12.50          |
| 68777    | SG Issuer - HSBC R Bull CBBC Jun 2021 E                      | 100,000,000  | 2020/06/16 | 2021/06/29 | 25.00          |
| 68751    | SG Issuer - HSBC R Bear CBBC Jan 2021 C                      | 100,000,000  | 2020/06/16 | 2021/01/28 | 25.00          |
| 68936    | SG Issuer - HSI R Bull CBBC Jun 2023 V                       | 250,000,000  | 2020/06/16 | 2023/06/29 | 62.50          |
| 68951    | SG Issuer - HSI R Bull CBBC Jul 2023 A                       | 250,000,000  | 2020/06/16 | 2023/07/28 | 62.50          |
| 68952    | SG Issuer - HSI R Bull CBBC Aug 2023 A                       | 250,000,000  | 2020/06/16 | 2023/08/30 | 62.50          |
| 68969    | SG Issuer - HSI R Bull CBBC Oct 2023 A                       | 250,000,000  | 2020/06/16 | 2023/10/30 | 62.50          |
| 68634    | SG Issuer - HSI R Bear CBBC Sep 2020 G                       | 250,000,000  | 2020/06/16 | 2020/09/29 | 62.50          |
| 68659    | SG Issuer - HSI R Bear CBBC Oct 2020 J                       | 250,000,000  | 2020/06/16 | 2020/10/29 | 62.50          |
| 68667    | SG Issuer - HSI R Bear CBBC Oct 2020 X                       | 250,000,000  | 2020/06/16 | 2020/10/29 | 62.50          |
| 68907    | SG Issuer - HSI R Bear CBBC Jan 2021 H                       | 250,000,000  | 2020/06/16 | 2021/01/28 | 62.50          |
| 68890    | SG Issuer - HSI R Bear CBBC Jan 2021 K                       | 250,000,000  | 2020/06/16 | 2021/01/28 | 62.50          |
| 68669    | SG Issuer - HSI R Bear CBBC Feb 2021 C                       | 500,000,000  | 2020/06/16 | 2021/02/25 | 125.00         |
| 68909    | SG Issuer - HSI R Bear CBBC Feb 2021 D                       | 250,000,000  | 2020/06/16 | 2021/02/25 | 62.50          |
| 68783    | SG Issuer - Link REIT R Bull CBBC Jan 2021 D                 | 60,000,000   | 2020/06/16 | 2021/01/28 | 15.00          |
| 68740    | SG Issuer - Meituan Dianping R Bull CBBC May 2021 A          | 100,000,000  | 2020/06/16 | 2021/05/28 | 25.00          |
| 68977    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 H          | 100,000,000  | 2020/06/16 | 2021/02/25 | 25.00          |
| 68785    | SG Issuer - Ping An R Bear CBBC Feb 2021 A                   | 100,000,000  | 2020/06/16 | 2021/02/25 | 25.00          |
| 68829    | SG Issuer - Sands China R Bull CBBC Mar 2021 D               | 100,000,000  | 2020/06/16 | 2021/03/30 | 25.00          |
| 68791    | SG Issuer - Sands China R Bear CBBC Dec 2020 C               | 100,000,000  | 2020/06/16 | 2020/12/31 | 25.00          |
| 68830    | SG Issuer - SMIC R Bear CBBC Feb 2021 A                      | 120,000,000  | 2020/06/16 | 2021/02/25 | 30.00          |
| 68842    | SG Issuer - SUNAC R Bear CBBC Feb 2021 A                     | 80,000,000   | 2020/06/16 | 2021/02/25 | 20.00          |
| 68843    | SG Issuer - Tencent R Bull CBBC Feb 2021 D                   | 80,000,000   | 2020/06/16 | 2021/02/25 | 20.00          |
| 68698    | SG Issuer - Tencent R Bear CBBC Jan 2021 Y                   | 80,000,000   | 2020/06/16 | 2021/01/28 | 20.00          |
| 68735    | SG Issuer - Tencent R Bear CBBC Feb 2021 Y                   | 80,000,000   | 2020/06/16 | 2021/02/25 | 20.00          |
| 68844    | SG Issuer - Tencent R Bear CBBC Feb 2021 Z                   | 80,000,000   | 2020/06/16 | 2021/02/26 | 56.80          |
| 68739    | SG Issuer - Xiaomi R Bear CBBC Jan 2021 C                    | 60,000,000   | 2020/06/16 | 2021/01/28 | 15.00          |
| 68114    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 L                | 80,000,000   | 2020/06/16 | 2021/02/08 | 20.00          |
| 68146    | UBS AG - China Life R Bull CBBC Apr 2021 A                   | 100,000,000  | 2020/06/16 | 2021/04/30 | 25.00          |
| 68131    | UBS AG - China Life R Bull CBBC May 2021 A                   | 100,000,000  | 2020/06/16 | 2021/05/31 | 25.00          |
| 68152    | UBS AG - China Life R Bear CBBC Mar 2021 B                   | 100,000,000  | 2020/06/16 | 2021/03/31 | 25.00          |

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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 68129    | UBS AG - Geely Auto R Bull CBBC Feb 2021 A              | 40,000,000   | 2020/06/16 | 2021/02/08 | 10.00          |
| 68063    | UBS AG - HKEX R Bear CBBC Dec 2020 L                    | 50,000,000   | 2020/06/16 | 2020/12/30 | 12.50          |
| 68172    | UBS AG - HSI R Bull CBBC Jan 2023 A                     | 200,000,000  | 2020/06/16 | 2023/01/30 | 50.00          |
| 68212    | UBS AG - HSI R Bull CBBC Jan 2023 H                     | 200,000,000  | 2020/06/16 | 2023/01/30 | 50.00          |
| 68217    | UBS AG - HSI R Bull CBBC Jan 2023 J                     | 200,000,000  | 2020/06/16 | 2023/01/30 | 50.00          |
| 67960    | UBS AG - HSI R Bear CBBC Sep 2020 G                     | 200,000,000  | 2020/06/16 | 2020/09/29 | 50.00          |
| 67937    | UBS AG - HSI R Bear CBBC Sep 2020 T                     | 200,000,000  | 2020/06/16 | 2020/09/29 | 50.00          |
| 67943    | UBS AG - HSI R Bear CBBC Sep 2020 U                     | 200,000,000  | 2020/06/16 | 2020/09/29 | 50.00          |
| 67958    | UBS AG - HSI R Bear CBBC Sep 2020 Z                     | 200,000,000  | 2020/06/16 | 2020/09/29 | 50.00          |
| 67993    | UBS AG - HSI R Bear CBBC Oct 2020 K                     | 200,000,000  | 2020/06/16 | 2020/10/29 | 50.00          |
| 67998    | UBS AG - HSI R Bear CBBC Oct 2020 N                     | 200,000,000  | 2020/06/16 | 2020/10/29 | 50.00          |
| 68013    | UBS AG - HSI R Bear CBBC Oct 2020 V                     | 200,000,000  | 2020/06/16 | 2020/10/29 | 50.00          |
| 68020    | UBS AG - SUNAC R Bull CBBC Apr 2021 A                   | 100,000,000  | 2020/06/16 | 2021/04/30 | 25.00          |
| 68067    | UBS AG - Tencent R Bull CBBC Feb 2021 N                 | 40,000,000   | 2020/06/16 | 2021/02/26 | 10.00          |
| 68074    | UBS AG - Tencent R Bear CBBC Dec 2020 A                 | 40,000,000   | 2020/06/16 | 2020/12/21 | 10.00          |
| 68300    | Bank Vontobel - AIA R Bull CBBC Feb 2021 D              | 40,000,000   | 2020/06/16 | 2021/02/19 | 10.00          |
| 68293    | Bank Vontobel - China Life R Bull CBBC Mar 2021 G       | 40,000,000   | 2020/06/16 | 2021/03/19 | 10.00          |
| 68297    | Bank Vontobel - China Life R Bull CBBC Mar 2021 H       | 40,000,000   | 2020/06/16 | 2021/03/19 | 10.00          |
| 68291    | Bank Vontobel - Geely Auto R Bull CBBC Feb 2021 B       | 40,000,000   | 2020/06/16 | 2021/02/05 | 10.00          |
| 68298    | Bank Vontobel - Galaxy Ent R Bull CBBC Dec 2020 P       | 40,000,000   | 2020/06/16 | 2020/12/18 | 10.00          |
| 68237    | Bank Vontobel - HSI N Bull CBBC Sep 2022 H              | 40,000,000   | 2020/06/16 | 2022/09/29 | 10.00          |
| 68253    | Bank Vontobel - HSI N Bear CBBC Dec 2020 A              | 40,000,000   | 2020/06/16 | 2020/12/30 | 10.00          |
| 68222    | Bank Vontobel - HSI R Bull CBBC Sep 2022 G              | 80,000,000   | 2020/06/16 | 2022/09/29 | 20.00          |
| 68309    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 N | 60,000,000   | 2020/06/16 | 2021/01/15 | 15.00          |
| 68278    | Bank Vontobel - SUNAC R Bull CBBC Mar 2021 A            | 40,000,000   | 2020/06/16 | 2021/03/05 | 10.00          |
| 68288    | Bank Vontobel - Xiaomi R Bull CBBC Mar 2021 B           | 40,000,000   | 2020/06/16 | 2021/03/05 | 10.00          |
| 69339    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 R             | 150,000,000  | 2020/06/17 | 2023/01/30 | 37.50          |
| 69355    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 S             | 150,000,000  | 2020/06/17 | 2023/01/30 | 37.50          |
| 69364    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 L             | 150,000,000  | 2020/06/17 | 2020/10/29 | 37.50          |
| 69362    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 Z             | 150,000,000  | 2020/06/17 | 2020/10/29 | 37.50          |
| 69370    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 N         | 40,000,000   | 2020/06/17 | 2020/12/30 | 10.00          |
| 69378    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 O         | 40,000,000   | 2020/06/17 | 2020/12/30 | 10.00          |
| 69383    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 E         | 40,000,000   | 2020/06/17 | 2020/12/30 | 10.00          |
| 69385    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 F         | 40,000,000   | 2020/06/17 | 2020/12/30 | 16.00          |
| 69514    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 B  | 190,000,000  | 2020/06/17 | 2022/12/29 | 47.50          |
| 69516    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 J  | 240,000,000  | 2020/06/17 | 2020/10/29 | 60.00          |
| 69331    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 E  | 240,000,000  | 2020/06/17 | 2020/11/27 | 60.00          |
| 69328    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 W  | 250,000,000  | 2020/06/17 | 2020/11/27 | 62.50          |
| 50056    | Credit Suisse AG - Alibaba Group R Bull CBBC Nov 2020 I | 50,000,000   | 2020/06/17 | 2020/11/27 | 12.50          |
| 69926    | Credit Suisse AG - HSBC R Bear CBBC Jan 2021 B          | 70,000,000   | 2020/06/17 | 2021/01/28 | 17.50          |
| 50113    | Credit Suisse AG - HSI R Bull CBBC Apr 2023 A           | 200,000,000  | 2020/06/17 | 2023/04/27 | 50.00          |
| 50118    | Credit Suisse AG - HSI R Bull CBBC Apr 2023 B           | 200,000,000  | 2020/06/17 | 2023/04/27 | 50.00          |
| 50135    | Credit Suisse AG - HSI R Bull CBBC Apr 2023 C           | 200,000,000  | 2020/06/17 | 2023/04/27 | 50.00          |
| 50153    | Credit Suisse AG - HSI R Bull CBBC Apr 2023 D           | 200,000,000  | 2020/06/17 | 2023/04/27 | 50.00          |
| 69911    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 B           | 200,000,000  | 2020/06/17 | 2020/10/29 | 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) |
|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 69913    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 K             | 200,000,000  | 2020/06/17 | 2020/11/27 | 50.00          |
| 50177    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 O             | 200,000,000  | 2020/06/17 | 2020/11/27 | 50.00          |
| 69917    | Credit Suisse AG - Link REIT R Bull CBBC Dec 2020 I       | 50,000,000   | 2020/06/17 | 2020/12/30 | 12.50          |
| 69921    | Credit Suisse AG - Link REIT R Bear CBBC Oct 2020 D       | 50,000,000   | 2020/06/17 | 2020/10/29 | 12.50          |
| 69983    | Credit Suisse AG - SMIC R Bear CBBC Dec 2020 C            | 50,000,000   | 2020/06/17 | 2020/12/30 | 12.50          |
| 50202    | Credit Suisse AG - Tencent R Bull CBBC Nov 2020 R         | 50,000,000   | 2020/06/17 | 2020/11/27 | 12.50          |
| 50220    | Credit Suisse AG - Tencent R Bull CBBC Dec 2020 J         | 100,000,000  | 2020/06/17 | 2020/12/30 | 25.00          |
| 50079    | Credit Suisse AG - Tencent R Bear CBBC Feb 2021 A         | 100,000,000  | 2020/06/17 | 2021/02/25 | 25.00          |
| 50975    | Goldman Sachs SP (Asia) - AAC Tech R Bull CBBC Jun 2021 A | 40,000,000   | 2020/06/17 | 2021/06/30 | 10.00          |
| 51028    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 H  | 60,000,000   | 2020/06/17 | 2020/10/30 | 15.00          |
| 51030    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 J  | 60,000,000   | 2020/06/17 | 2020/10/30 | 15.00          |
| 51016    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Oct 2020 A     | 60,000,000   | 2020/06/17 | 2020/10/30 | 15.00          |
| 50943    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 H      | 160,000,000  | 2020/06/17 | 2023/09/28 | 40.00          |
| 50967    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 I      | 160,000,000  | 2020/06/17 | 2023/09/28 | 40.00          |
| 50973    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 J      | 160,000,000  | 2020/06/17 | 2023/09/28 | 40.00          |
| 50962    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 A      | 160,000,000  | 2020/06/17 | 2021/02/25 | 40.00          |
| 50902    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 C      | 160,000,000  | 2020/06/17 | 2021/02/25 | 40.00          |
| 50952    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 D      | 160,000,000  | 2020/06/17 | 2021/02/25 | 40.00          |
| 50957    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 M      | 160,000,000  | 2020/06/17 | 2021/02/25 | 40.00          |
| 51002    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Jun 2021 A  | 60,000,000   | 2020/06/17 | 2021/06/30 | 15.00          |
| 50982    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 N  | 60,000,000   | 2020/06/17 | 2020/10/30 | 15.00          |
| 51026    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 O  | 60,000,000   | 2020/06/17 | 2020/10/30 | 15.00          |
| 50981    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Jun 2021 G  | 60,000,000   | 2020/06/17 | 2021/06/30 | 15.00          |
| 50974    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Oct 2020 J   | 60,000,000   | 2020/06/17 | 2020/10/30 | 15.00          |
| 69282    | HK Bank - CAM CSI300 R Bull CBBC Jan 2021 A               | 40,000,000   | 2020/06/17 | 2021/01/14 | 10.00          |
| 69317    | HK Bank - China Mobile R Bull CBBC Nov 2020 D             | 40,000,000   | 2020/06/17 | 2020/11/12 | 10.00          |
| 69327    | HK Bank - China Life R Bull CBBC Nov 2020 D               | 40,000,000   | 2020/06/17 | 2020/11/05 | 10.00          |
| 69300    | HK Bank - CSOP A50 ETF R Bull CBBC Jan 2021 D             | 40,000,000   | 2020/06/17 | 2021/01/14 | 10.00          |
| 69240    | HK Bank - Galaxy Ent R Bull CBBC Dec 2020 B               | 60,000,000   | 2020/06/17 | 2020/12/07 | 15.00          |
| 69210    | HK Bank - HSI R Bull CBBC May 2022 Q                      | 100,000,000  | 2020/06/17 | 2022/05/30 | 25.00          |
| 69250    | HK Bank - HSI R Bull CBBC May 2022 R                      | 100,000,000  | 2020/06/17 | 2022/05/30 | 25.00          |
| 69276    | HK Bank - HSI R Bear CBBC Oct 2020 T                      | 60,000,000   | 2020/06/17 | 2020/10/29 | 15.00          |
| 69397    | HK Bank - Meituan Dianping R Bull CBBC Nov 2020 J         | 40,000,000   | 2020/06/17 | 2020/11/09 | 10.00          |
| 69238    | HK Bank - Sands China R Bear CBBC Dec 2020 A              | 40,000,000   | 2020/06/17 | 2020/12/07 | 10.00          |
| 69318    | HK Bank - Tencent R Bull CBBC Nov 2020 M                  | 40,000,000   | 2020/06/17 | 2020/11/05 | 10.00          |
| 69213    | HK Bank - Tencent R Bear CBBC Oct 2020 L                  | 40,000,000   | 2020/06/17 | 2020/10/19 | 10.00          |
| 69235    | HK Bank - Xiaomi R Bear CBBC Nov 2020 A                   | 40,000,000   | 2020/06/17 | 2020/11/16 | 10.00          |
| 50299    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Dec 2020 H  | 60,000,000   | 2020/06/17 | 2020/12/31 | 15.00          |
| 50262    | Haitong Int'l Sec - Alibaba Group R Bear CBBC Jan 2021 D  | 60,000,000   | 2020/06/17 | 2021/01/28 | 15.00          |
| 50269    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 V            | 150,000,000  | 2020/06/17 | 2023/03/30 | 37.50          |
| 50291    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 W            | 200,000,000  | 2020/06/17 | 2023/03/30 | 50.00          |
| 50292    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 X            | 200,000,000  | 2020/06/17 | 2023/03/30 | 50.00          |
| 50223    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 I            | 150,000,000  | 2020/06/17 | 2020/12/30 | 37.50          |
| 50232    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 A            | 150,000,000  | 2020/06/17 | 2021/01/28 | 37.50          |
| 50343    | Haitong Int'l Sec - HSI R Bear CBBC Feb 2021 I            | 200,000,000  | 2020/06/17 | 2021/02/25 | 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 50316    | Haitong Int'l Sec - Tencent R Bull CBBC Jan 2021 E         | 60,000,000   | 2020/06/17 | 2021/01/27 | 15.00          |
| 50261    | Haitong Int'l Sec - Tencent R Bear CBBC Feb 2021 C         | 60,000,000   | 2020/06/17 | 2021/02/25 | 15.00          |
| 69595    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 I              | 200,000,000  | 2020/06/17 | 2023/02/27 | 50.00          |
| 69629    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 S              | 240,000,000  | 2020/06/17 | 2023/03/30 | 60.00          |
| 69593    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 B              | 200,000,000  | 2020/06/17 | 2023/04/27 | 50.00          |
| 69600    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 D              | 200,000,000  | 2020/06/17 | 2023/04/27 | 50.00          |
| 69660    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 V              | 200,000,000  | 2020/06/17 | 2023/09/28 | 50.00          |
| 69532    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 E              | 200,000,000  | 2020/06/17 | 2020/11/27 | 50.00          |
| 69564    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 F              | 200,000,000  | 2020/06/17 | 2020/11/27 | 50.00          |
| 69599    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 N              | 200,000,000  | 2020/06/17 | 2020/11/27 | 50.00          |
| 69685    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Jan 2021 D | 80,000,000   | 2020/06/17 | 2021/01/15 | 20.00          |
| 69669    | J P Morgan SP BV - Tencent R Bull CBBC Feb 2021 A          | 50,000,000   | 2020/06/17 | 2021/02/11 | 12.50          |
| 69672    | J P Morgan SP BV - Tencent R Bear CBBC Jan 2021 B          | 200,000,000  | 2020/06/17 | 2021/01/08 | 50.00          |
| 50547    | SG Issuer - Alibaba Group R Bull CBBC Feb 2021 D           | 60,000,000   | 2020/06/17 | 2021/02/25 | 15.00          |
| 50354    | SG Issuer - Alibaba Group R Bear CBBC Feb 2021 F           | 60,000,000   | 2020/06/17 | 2021/02/25 | 15.00          |
| 50771    | SG Issuer - Alibaba Group R Bear CBBC Feb 2021 G           | 150,000,000  | 2020/06/17 | 2021/02/25 | 37.50          |
| 50577    | SG Issuer - China Life R Bull CBBC Mar 2021 C              | 150,000,000  | 2020/06/17 | 2021/03/30 | 37.50          |
| 50356    | SG Issuer - Geely Auto R Bull CBBC Jan 2021 C              | 40,000,000   | 2020/06/17 | 2021/01/29 | 10.00          |
| 50594    | SG Issuer - HSI R Bull CBBC Sep 2023 D                     | 250,000,000  | 2020/06/17 | 2023/09/28 | 62.50          |
| 50620    | SG Issuer - HSI R Bull CBBC Oct 2023 B                     | 250,000,000  | 2020/06/17 | 2023/10/30 | 62.50          |
| 50686    | SG Issuer - HSI R Bull CBBC Oct 2023 C                     | 250,000,000  | 2020/06/17 | 2023/10/30 | 62.50          |
| 50739    | SG Issuer - HSI R Bull CBBC Oct 2023 D                     | 250,000,000  | 2020/06/17 | 2023/10/30 | 62.50          |
| 50633    | SG Issuer - HSI R Bear CBBC Oct 2020 B                     | 250,000,000  | 2020/06/17 | 2020/10/29 | 62.50          |
| 50631    | SG Issuer - HSI R Bear CBBC Oct 2020 Y                     | 250,000,000  | 2020/06/17 | 2020/10/29 | 62.50          |
| 50636    | SG Issuer - HSI R Bear CBBC Nov 2020 D                     | 250,000,000  | 2020/06/17 | 2020/11/27 | 62.50          |
| 50667    | SG Issuer - HSI R Bear CBBC Nov 2020 I                     | 250,000,000  | 2020/06/17 | 2020/11/27 | 62.50          |
| 50635    | SG Issuer - HSI R Bear CBBC Nov 2020 X                     | 250,000,000  | 2020/06/17 | 2020/11/27 | 62.50          |
| 50807    | SG Issuer - Meituan Dianping R Bull CBBC Feb 2021 E        | 100,000,000  | 2020/06/17 | 2021/02/25 | 25.00          |
| 50379    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 N        | 100,000,000  | 2020/06/17 | 2021/01/29 | 25.00          |
| 50584    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 O        | 100,000,000  | 2020/06/17 | 2021/01/28 | 25.00          |
| 50772    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 P        | 100,000,000  | 2020/06/17 | 2021/01/28 | 32.50          |
| 50400    | SG Issuer - Ping An R Bull CBBC Jul 2021 C                 | 100,000,000  | 2020/06/17 | 2021/07/30 | 25.00          |
| 50405    | SG Issuer - SMIC R Bull CBBC Feb 2021 I                    | 120,000,000  | 2020/06/17 | 2021/02/25 | 30.00          |
| 50821    | SG Issuer - Tencent R Bull CBBC Oct 2020 C                 | 80,000,000   | 2020/06/17 | 2020/10/30 | 20.00          |
| 50844    | SG Issuer - Tencent R Bull CBBC Feb 2021 E                 | 80,000,000   | 2020/06/17 | 2021/02/25 | 20.00          |
| 50424    | SG Issuer - Tencent R Bear CBBC Jan 2021 Z                 | 80,000,000   | 2020/06/17 | 2021/01/28 | 20.00          |
| 50507    | SG Issuer - Tencent R Bear CBBC Feb 2021 A                 | 80,000,000   | 2020/06/17 | 2021/02/25 | 20.00          |
| 50860    | SG Issuer - Tencent R Bear CBBC Feb 2021 B                 | 80,000,000   | 2020/06/17 | 2021/02/25 | 20.00          |
| 50861    | SG Issuer - Tencent R Bear CBBC Feb 2021 C                 | 80,000,000   | 2020/06/17 | 2021/02/26 | 35.20          |
| 50870    | SG Issuer - Tencent R Bear CBBC Mar 2021 F                 | 80,000,000   | 2020/06/17 | 2021/03/31 | 55.20          |
| 50873    | SG Issuer - Tencent R Bear CBBC Jun 2021 A                 | 200,000,000  | 2020/06/17 | 2021/06/30 | 50.00          |
| 69909    | UBS AG - Alibaba Group R Bull CBBC Apr 2021 B              | 80,000,000   | 2020/06/17 | 2021/04/12 | 20.00          |
| 69752    | UBS AG - Alibaba Group R Bear CBBC Jan 2021 G              | 80,000,000   | 2020/06/17 | 2021/01/22 | 20.00          |
| 69823    | UBS AG - HSI R Bull CBBC Mar 2023 D                        | 200,000,000  | 2020/06/17 | 2023/03/30 | 50.00          |
| 69798    | UBS AG - HSI R Bull CBBC Mar 2023 F                        | 200,000,000  | 2020/06/17 | 2023/03/30 | 50.00          |

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|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 69799    | UBS AG - HSI R Bull CBBC Mar 2023 O                      | 200,000,000  | 2020/06/17 | 2023/03/30 | 50.00          |
| 69811    | UBS AG - HSI R Bull CBBC Mar 2023 X                      | 200,000,000  | 2020/06/17 | 2023/03/30 | 50.00          |
| 69695    | UBS AG - HSI R Bear CBBC Oct 2020 P                      | 200,000,000  | 2020/06/17 | 2020/10/29 | 50.00          |
| 69824    | UBS AG - HSI R Bear CBBC Oct 2020 S                      | 200,000,000  | 2020/06/17 | 2020/10/29 | 50.00          |
| 69694    | UBS AG - HSI R Bear CBBC Oct 2020 Z                      | 200,000,000  | 2020/06/17 | 2020/10/29 | 50.00          |
| 69796    | UBS AG - Link REIT R Bull CBBC Jan 2021 A                | 60,000,000   | 2020/06/17 | 2021/01/29 | 15.00          |
| 69872    | UBS AG - Meituan Dianping R Bull CBBC Mar 2021 F         | 50,000,000   | 2020/06/17 | 2021/03/03 | 12.50          |
| 69867    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 B         | 50,000,000   | 2020/06/17 | 2020/12/31 | 12.50          |
| 69897    | UBS AG - Tencent R Bull CBBC Apr 2021 A                  | 40,000,000   | 2020/06/17 | 2021/04/12 | 10.00          |
| 69898    | UBS AG - Tencent R Bull CBBC Apr 2021 B                  | 200,000,000  | 2020/06/17 | 2021/04/13 | 50.00          |
| 69696    | UBS AG - Tencent R Bear CBBC Nov 2020 C                  | 40,000,000   | 2020/06/17 | 2020/11/30 | 10.00          |
| 69730    | UBS AG - Tencent R Bear CBBC Jan 2021 N                  | 200,000,000  | 2020/06/17 | 2021/01/05 | 50.00          |
| 69469    | Bank Vontobel - AIA R Bear CBBC Dec 2020 F               | 40,000,000   | 2020/06/17 | 2020/12/18 | 10.00          |
| 69493    | Bank Vontobel - CC Bank R Bull CBBC Feb 2021 A           | 40,000,000   | 2020/06/17 | 2021/02/19 | 10.00          |
| 69408    | Bank Vontobel - HSI R Bull CBBC Sep 2022 I               | 80,000,000   | 2020/06/17 | 2022/09/29 | 20.00          |
| 69423    | Bank Vontobel - HSI R Bull CBBC Sep 2022 J               | 80,000,000   | 2020/06/17 | 2022/09/29 | 20.00          |
| 69436    | Bank Vontobel - HSI R Bull CBBC Sep 2022 K               | 80,000,000   | 2020/06/17 | 2022/09/29 | 20.00          |
| 69437    | Bank Vontobel - HSI R Bear CBBC Dec 2020 B               | 80,000,000   | 2020/06/17 | 2020/12/30 | 20.00          |
| 69439    | Bank Vontobel - HSI R Bear CBBC Dec 2020 C               | 80,000,000   | 2020/06/17 | 2020/12/30 | 20.00          |
| 69495    | Bank Vontobel - Meituan Dianping R Bull CBBC Jan 2021 Q  | 60,000,000   | 2020/06/17 | 2021/01/15 | 15.00          |
| 69473    | Bank Vontobel - Tencent R Bull CBBC Feb 2021 H           | 40,000,000   | 2020/06/17 | 2021/02/19 | 10.00          |
| 69474    | Bank Vontobel - Tencent R Bull CBBC Feb 2021 I           | 40,000,000   | 2020/06/17 | 2021/02/19 | 10.00          |
| 69446    | Bank Vontobel - Xiaomi R Bear CBBC Jan 2021 C            | 40,000,000   | 2020/06/17 | 2021/01/15 | 10.00          |
| 51149    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 V    | 60,000,000   | 2020/06/18 | 2020/12/31 | 15.00          |
| 51166    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 J    | 60,000,000   | 2020/06/18 | 2020/12/31 | 15.00          |
| 51209    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 T              | 150,000,000  | 2020/06/18 | 2023/01/30 | 37.50          |
| 51229    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 U              | 150,000,000  | 2020/06/18 | 2023/01/30 | 37.50          |
| 51230    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 V              | 150,000,000  | 2020/06/18 | 2023/01/30 | 37.50          |
| 51600    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 Q              | 150,000,000  | 2020/06/18 | 2020/10/29 | 43.50          |
| 51615    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 W              | 150,000,000  | 2020/06/18 | 2020/10/29 | 37.50          |
| 51195    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 V | 40,000,000   | 2020/06/18 | 2020/12/30 | 10.00          |
| 51197    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 Q | 40,000,000   | 2020/06/18 | 2020/12/30 | 10.00          |
| 51241    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 P          | 40,000,000   | 2020/06/18 | 2020/12/30 | 10.00          |
| 51246    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 Q          | 40,000,000   | 2020/06/18 | 2020/12/30 | 10.00          |
| 51282    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 G          | 40,000,000   | 2020/06/18 | 2020/12/30 | 10.00          |
| 51293    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 N          | 40,000,000   | 2020/06/18 | 2020/12/30 | 10.40          |
| 51647    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 I   | 190,000,000  | 2020/06/18 | 2022/12/29 | 47.50          |
| 51127    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 K   | 250,000,000  | 2020/06/18 | 2020/10/29 | 62.50          |
| 51128    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 L   | 250,000,000  | 2020/06/18 | 2020/10/29 | 62.50          |
| 51139    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 W   | 250,000,000  | 2020/06/18 | 2020/10/29 | 62.50          |
| 51653    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 F   | 250,000,000  | 2020/06/18 | 2020/11/27 | 62.50          |
| 51654    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 G   | 250,000,000  | 2020/06/18 | 2020/11/27 | 62.50          |
| 51655    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 H   | 250,000,000  | 2020/06/18 | 2020/11/27 | 62.50          |
| 51680    | Credit Suisse AG - Alibaba Group R Bull CBBC Dec 2020 C  | 50,000,000   | 2020/06/18 | 2020/12/30 | 12.50          |
| 51669    | Credit Suisse AG - HKEX R Bull CBBC Dec 2020 I           | 50,000,000   | 2020/06/18 | 2020/12/30 | 12.50          |

# 主板 可收回牛熊證

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|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 51661    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 N              | 200,000,000  | 2020/06/18 | 2023/01/30 | 50.00          |
| 51664    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 P              | 200,000,000  | 2020/06/18 | 2023/01/30 | 50.00          |
| 51684    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 M              | 200,000,000  | 2020/06/18 | 2023/03/30 | 50.00          |
| 51665    | Credit Suisse AG - HSI R Bull CBBC Apr 2023 E              | 200,000,000  | 2020/06/18 | 2023/04/27 | 50.00          |
| 51666    | Credit Suisse AG - HSI R Bull CBBC Apr 2023 F              | 200,000,000  | 2020/06/18 | 2023/04/27 | 50.00          |
| 51685    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 K              | 200,000,000  | 2020/06/18 | 2020/10/29 | 50.00          |
| 51689    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 G              | 200,000,000  | 2020/06/18 | 2020/11/27 | 50.00          |
| 51690    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 J              | 200,000,000  | 2020/06/18 | 2020/11/27 | 50.00          |
| 51694    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 P              | 200,000,000  | 2020/06/18 | 2020/11/27 | 50.00          |
| 51691    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 N              | 200,000,000  | 2020/06/18 | 2020/12/30 | 50.00          |
| 51697    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 O              | 200,000,000  | 2020/06/18 | 2020/12/30 | 50.00          |
| 51677    | Credit Suisse AG - Meituan Dianping R Bull CBBC Dec 2020 B | 80,000,000   | 2020/06/18 | 2020/12/30 | 20.00          |
| 51682    | Credit Suisse AG - Meituan Dianping R Bear CBBC Dec 2020 E | 50,000,000   | 2020/06/18 | 2020/12/30 | 12.50          |
| 51681    | Credit Suisse AG - SUNAC R Bear CBBC Dec 2020 B            | 50,000,000   | 2020/06/18 | 2020/12/30 | 12.50          |
| 51670    | Credit Suisse AG - Tencent R Bull CBBC Dec 2020 K          | 50,000,000   | 2020/06/18 | 2020/12/30 | 12.50          |
| 51673    | Credit Suisse AG - Tencent R Bull CBBC Dec 2020 L          | 50,000,000   | 2020/06/18 | 2020/12/30 | 12.50          |
| 51811    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 K   | 60,000,000   | 2020/06/18 | 2020/10/30 | 15.00          |
| 51790    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 D       | 160,000,000  | 2020/06/18 | 2023/05/30 | 40.00          |
| 51796    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 F       | 160,000,000  | 2020/06/18 | 2023/05/30 | 40.00          |
| 51793    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 G       | 160,000,000  | 2020/06/18 | 2023/05/30 | 40.00          |
| 51791    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 H       | 160,000,000  | 2020/06/18 | 2023/05/30 | 40.00          |
| 51792    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 I       | 160,000,000  | 2020/06/18 | 2023/05/30 | 40.00          |
| 51797    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 T       | 160,000,000  | 2020/06/18 | 2023/05/30 | 40.00          |
| 51804    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 A       | 160,000,000  | 2020/06/18 | 2021/01/28 | 40.00          |
| 51803    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 W       | 160,000,000  | 2020/06/18 | 2021/01/28 | 40.00          |
| 51798    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 I       | 160,000,000  | 2020/06/18 | 2021/02/25 | 40.00          |
| 51802    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 Q       | 160,000,000  | 2020/06/18 | 2021/02/25 | 40.00          |
| 51809    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Jun 2021 B   | 60,000,000   | 2020/06/18 | 2021/06/30 | 15.00          |
| 51808    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 R   | 60,000,000   | 2020/06/18 | 2020/10/30 | 15.00          |
| 51810    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Oct 2020 E   | 60,000,000   | 2020/06/18 | 2020/10/30 | 15.00          |
| 51805    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Jun 2021 H   | 80,000,000   | 2020/06/18 | 2021/06/30 | 20.00          |
| 51056    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 L             | 40,000,000   | 2020/06/18 | 2020/11/19 | 10.00          |
| 51094    | HK Bank - Alibaba Group R Bear CBBC Nov 2020 D             | 100,000,000  | 2020/06/18 | 2020/11/16 | 25.00          |
| 51038    | HK Bank - HSI R Bull CBBC May 2022 S                       | 100,000,000  | 2020/06/18 | 2022/05/30 | 25.00          |
| 51051    | HK Bank - HSI R Bear CBBC Oct 2020 U                       | 100,000,000  | 2020/06/18 | 2020/10/29 | 25.00          |
| 51097    | HK Bank - Meituan Dianping R Bull CBBC Dec 2020 A          | 40,000,000   | 2020/06/18 | 2020/12/07 | 10.00          |
| 51052    | HK Bank - Tencent R Bull CBBC Nov 2020 N                   | 40,000,000   | 2020/06/18 | 2020/11/12 | 10.00          |
| 51117    | HK Bank - Tencent R Bull CBBC Nov 2020 O                   | 40,000,000   | 2020/06/18 | 2020/11/23 | 10.00          |
| 51039    | HK Bank - Tencent R Bear CBBC Nov 2020 G                   | 40,000,000   | 2020/06/18 | 2020/11/05 | 10.00          |
| 51125    | HK Bank - Tencent R Bear CBBC Nov 2020 H                   | 100,000,000  | 2020/06/18 | 2020/11/23 | 25.00          |
| 51819    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Jan 2021 B   | 80,000,000   | 2020/06/18 | 2021/01/28 | 20.00          |
| 51812    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 H             | 150,000,000  | 2020/06/18 | 2023/05/30 | 37.50          |
| 51813    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 I             | 150,000,000  | 2020/06/18 | 2023/05/30 | 37.50          |
| 51825    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 J             | 150,000,000  | 2020/06/18 | 2023/05/30 | 37.50          |
| 51831    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 I             | 150,000,000  | 2020/06/18 | 2020/11/27 | 37.50          |

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| 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 51828    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 J              | 150,000,000  | 2020/06/18 | 2020/11/27 | 37.50          |
| 51830    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 N              | 300,000,000  | 2020/06/18 | 2020/11/27 | 75.00          |
| 51817    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Dec 2020 H | 80,000,000   | 2020/06/18 | 2020/12/28 | 20.00          |
| 51814    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Jan 2021 D | 80,000,000   | 2020/06/18 | 2021/01/28 | 20.00          |
| 51833    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Feb 2022 C | 80,000,000   | 2020/06/18 | 2022/02/25 | 23.12          |
| 51823    | Haitong Int'l Sec - Tencent R Bull CBBC Jan 2021 F          | 60,000,000   | 2020/06/18 | 2021/01/27 | 15.00          |
| 51832    | Haitong Int'l Sec - Tencent R Bear CBBC Jan 2021 F          | 60,000,000   | 2020/06/18 | 2021/01/27 | 15.00          |
| 51639    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 T               | 200,000,000  | 2020/06/18 | 2023/03/30 | 50.00          |
| 51628    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 H               | 200,000,000  | 2020/06/18 | 2023/04/27 | 50.00          |
| 51637    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 I               | 200,000,000  | 2020/06/18 | 2023/04/27 | 50.00          |
| 51620    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 W               | 200,000,000  | 2020/06/18 | 2023/09/28 | 50.00          |
| 51621    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 X               | 200,000,000  | 2020/06/18 | 2023/09/28 | 50.00          |
| 51629    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 Y               | 200,000,000  | 2020/06/18 | 2023/09/28 | 50.00          |
| 51630    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 Z               | 200,000,000  | 2020/06/18 | 2023/09/28 | 50.00          |
| 51627    | J P Morgan SP BV - HSI R Bear CBBC Sep 2020 A               | 200,000,000  | 2020/06/18 | 2020/09/29 | 50.00          |
| 51626    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 H               | 200,000,000  | 2020/06/18 | 2020/10/29 | 50.00          |
| 51635    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 K               | 200,000,000  | 2020/06/18 | 2020/10/29 | 50.00          |
| 51636    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 S               | 200,000,000  | 2020/06/18 | 2020/11/27 | 50.00          |
| 51632    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Jan 2021 E  | 80,000,000   | 2020/06/18 | 2021/01/15 | 26.00          |
| 51531    | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 D   | 150,000,000  | 2020/06/18 | 2023/04/27 | 37.50          |
| 51548    | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 E   | 150,000,000  | 2020/06/18 | 2023/04/27 | 37.50          |
| 51568    | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 F   | 150,000,000  | 2020/06/18 | 2023/04/27 | 37.50          |
| 51580    | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 G   | 150,000,000  | 2020/06/18 | 2023/04/27 | 37.50          |
| 51573    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 F   | 150,000,000  | 2020/06/18 | 2020/10/29 | 37.50          |
| 51736    | SG Issuer - AIA R Bull CBBC Jan 2021 D                      | 60,000,000   | 2020/06/18 | 2021/01/29 | 15.00          |
| 51737    | SG Issuer - Alibaba Group R Bull CBBC Jan 2021 H            | 60,000,000   | 2020/06/18 | 2021/01/29 | 15.00          |
| 51738    | SG Issuer - Alibaba Group R Bull CBBC Feb 2021 E            | 60,000,000   | 2020/06/18 | 2021/02/26 | 15.00          |
| 51718    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 P            | 60,000,000   | 2020/06/18 | 2020/12/30 | 15.00          |
| 51739    | SG Issuer - CNOOC R Bear CBBC Jan 2021 D                    | 40,000,000   | 2020/06/18 | 2021/01/28 | 10.00          |
| 51719    | SG Issuer - HKEX R Bull CBBC Nov 2020 G                     | 50,000,000   | 2020/06/18 | 2020/11/30 | 12.50          |
| 51740    | SG Issuer - HKEX R Bull CBBC Nov 2020 H                     | 50,000,000   | 2020/06/18 | 2020/11/30 | 12.50          |
| 51766    | SG Issuer - HSI R Bull CBBC Aug 2023 B                      | 250,000,000  | 2020/06/18 | 2023/08/30 | 62.50          |
| 51729    | SG Issuer - HSI R Bull CBBC Sep 2023 E                      | 250,000,000  | 2020/06/18 | 2023/09/28 | 62.50          |
| 51754    | SG Issuer - HSI R Bull CBBC Sep 2023 F                      | 250,000,000  | 2020/06/18 | 2023/09/28 | 62.50          |
| 51731    | SG Issuer - HSI R Bull CBBC Oct 2023 E                      | 250,000,000  | 2020/06/18 | 2023/10/30 | 62.50          |
| 51732    | SG Issuer - HSI R Bull CBBC Oct 2023 F                      | 250,000,000  | 2020/06/18 | 2023/10/30 | 62.50          |
| 51767    | SG Issuer - HSI R Bull CBBC Oct 2023 G                      | 250,000,000  | 2020/06/18 | 2023/10/30 | 62.50          |
| 51778    | SG Issuer - HSI R Bull CBBC Oct 2023 H                      | 250,000,000  | 2020/06/18 | 2023/10/30 | 62.50          |
| 51786    | SG Issuer - HSI R Bull CBBC Oct 2023 I                      | 250,000,000  | 2020/06/18 | 2023/10/30 | 62.50          |
| 51759    | SG Issuer - HSI R Bear CBBC Sep 2020 V                      | 250,000,000  | 2020/06/18 | 2020/09/29 | 62.50          |
| 51760    | SG Issuer - HSI R Bear CBBC Sep 2020 Y                      | 250,000,000  | 2020/06/18 | 2020/09/29 | 62.50          |
| 51762    | SG Issuer - HSI R Bear CBBC Oct 2020 D                      | 250,000,000  | 2020/06/18 | 2020/10/29 | 62.50          |
| 51763    | SG Issuer - HSI R Bear CBBC Nov 2020 J                      | 250,000,000  | 2020/06/18 | 2020/11/27 | 62.50          |
| 51744    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 M         | 100,000,000  | 2020/06/18 | 2021/01/29 | 25.00          |
| 51722    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 Q         | 100,000,000  | 2020/06/18 | 2021/01/28 | 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 51726    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 I     | 100,000,000  | 2020/06/18 | 2021/02/25 | 25.00          |
| 51727    | SG Issuer - Ping An R Bull CBBC Mar 2021 A              | 100,000,000  | 2020/06/18 | 2021/03/30 | 25.00          |
| 51745    | SG Issuer - Tencent R Bull CBBC Jan 2021 M              | 80,000,000   | 2020/06/18 | 2021/01/29 | 20.00          |
| 51748    | SG Issuer - Tencent R Bull CBBC Jan 2021 N              | 80,000,000   | 2020/06/18 | 2021/01/29 | 20.00          |
| 51750    | SG Issuer - Tencent R Bull CBBC Mar 2021 A              | 80,000,000   | 2020/06/18 | 2021/03/30 | 20.00          |
| 51728    | SG Issuer - Tencent R Bear CBBC Jan 2021 A              | 80,000,000   | 2020/06/18 | 2021/01/28 | 20.00          |
| 51787    | SG Issuer - Tencent R Bear CBBC Feb 2021 D              | 80,000,000   | 2020/06/18 | 2021/02/25 | 20.00          |
| 51378    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 M           | 80,000,000   | 2020/06/18 | 2021/02/02 | 20.00          |
| 51447    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 K           | 400,000,000  | 2020/06/18 | 2021/02/26 | 100.00         |
| 51384    | UBS AG - HKEX R Bull CBBC Feb 2021 G                    | 50,000,000   | 2020/06/18 | 2021/02/02 | 12.50          |
| 51349    | UBS AG - HSI R Bull CBBC Jan 2023 B                     | 200,000,000  | 2020/06/18 | 2023/01/30 | 50.00          |
| 51369    | UBS AG - HSI R Bull CBBC Jan 2023 C                     | 200,000,000  | 2020/06/18 | 2023/01/30 | 50.00          |
| 51515    | UBS AG - HSI R Bull CBBC Jan 2023 I                     | 200,000,000  | 2020/06/18 | 2023/01/30 | 50.00          |
| 51300    | UBS AG - HSI R Bull CBBC Jan 2023 L                     | 200,000,000  | 2020/06/18 | 2023/01/30 | 50.00          |
| 51659    | UBS AG - HSI R Bull CBBC Jan 2023 Q                     | 200,000,000  | 2020/06/18 | 2023/01/30 | 50.00          |
| 51309    | UBS AG - HSI R Bull CBBC Jan 2023 U                     | 200,000,000  | 2020/06/18 | 2023/01/30 | 50.00          |
| 51321    | UBS AG - HSI R Bull CBBC Jan 2023 V                     | 200,000,000  | 2020/06/18 | 2023/01/30 | 50.00          |
| 51332    | UBS AG - HSI R Bull CBBC Jan 2023 Y                     | 200,000,000  | 2020/06/18 | 2023/01/30 | 50.00          |
| 51336    | UBS AG - HSI R Bull CBBC Jan 2023 Z                     | 200,000,000  | 2020/06/18 | 2023/01/30 | 50.00          |
| 51460    | UBS AG - HSI R Bear CBBC Oct 2020 E                     | 200,000,000  | 2020/06/18 | 2020/10/29 | 50.00          |
| 51477    | UBS AG - HSI R Bear CBBC Oct 2020 M                     | 200,000,000  | 2020/06/18 | 2020/10/29 | 50.00          |
| 51508    | UBS AG - HSI R Bear CBBC Oct 2020 T                     | 400,000,000  | 2020/06/18 | 2020/10/29 | 100.00         |
| 51514    | UBS AG - HSI R Bear CBBC Oct 2020 W                     | 200,000,000  | 2020/06/18 | 2020/10/29 | 50.00          |
| 51370    | UBS AG - Meituan Dianping R Bull CBBC Feb 2021 F        | 50,000,000   | 2020/06/18 | 2021/02/09 | 12.50          |
| 51371    | UBS AG - Meituan Dianping R Bull CBBC Jun 2021 A        | 200,000,000  | 2020/06/18 | 2021/06/30 | 50.00          |
| 51455    | UBS AG - Meituan Dianping R Bear CBBC Jan 2021 I        | 50,000,000   | 2020/06/18 | 2021/01/06 | 22.00          |
| 51417    | UBS AG - Tencent R Bull CBBC Apr 2021 C                 | 40,000,000   | 2020/06/18 | 2021/04/14 | 10.00          |
| 51431    | UBS AG - Tencent R Bull CBBC Apr 2021 D                 | 200,000,000  | 2020/06/18 | 2021/04/15 | 50.00          |
| 51433    | UBS AG - Tencent R Bull CBBC Apr 2021 E                 | 40,000,000   | 2020/06/18 | 2021/04/16 | 10.00          |
| 51329    | UBS AG - Tencent R Bear CBBC Dec 2020 R                 | 40,000,000   | 2020/06/18 | 2020/12/08 | 10.00          |
| 51446    | UBS AG - Tencent R Bear CBBC Apr 2021 A                 | 200,000,000  | 2020/06/18 | 2021/04/15 | 50.00          |
| 51379    | UBS AG - Xiaomi R Bull CBBC Feb 2021 F                  | 60,000,000   | 2020/06/18 | 2021/02/02 | 15.00          |
| 51458    | UBS AG - Xiaomi R Bear CBBC Feb 2021 G                  | 60,000,000   | 2020/06/18 | 2021/02/08 | 15.00          |
| 51708    | Bank Vontobel - Alibaba Group R Bull CBBC Mar 2021 B    | 40,000,000   | 2020/06/18 | 2021/03/05 | 10.00          |
| 51709    | Bank Vontobel - HSBC R Bear CBBC Jan 2021 B             | 40,000,000   | 2020/06/18 | 2021/01/22 | 10.00          |
| 51701    | Bank Vontobel - HSI R Bull CBBC Sep 2022 L              | 80,000,000   | 2020/06/18 | 2022/09/29 | 20.00          |
| 51710    | Bank Vontobel - HSI R Bull CBBC Sep 2022 M              | 80,000,000   | 2020/06/18 | 2022/09/29 | 20.00          |
| 51700    | Bank Vontobel - HSI R Bear CBBC Dec 2020 I              | 80,000,000   | 2020/06/18 | 2020/12/30 | 20.00          |
| 51712    | Bank Vontobel - HSI R Bear CBBC Dec 2020 J              | 80,000,000   | 2020/06/18 | 2020/12/30 | 20.00          |
| 51702    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 K | 60,000,000   | 2020/06/18 | 2021/02/05 | 15.00          |
| 51699    | Bank Vontobel - Meituan Dianping R Bull CBBC Mar 2021 G | 60,000,000   | 2020/06/18 | 2021/03/05 | 15.00          |
| 51698    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 O | 60,000,000   | 2020/06/18 | 2021/01/22 | 15.00          |
| 51707    | Bank Vontobel - Meituan Dianping R Bear CBBC Feb 2021 D | 60,000,000   | 2020/06/18 | 2021/02/19 | 15.00          |
| 51717    | Bank Vontobel - Tencent R Bull CBBC Jan 2021 G          | 40,000,000   | 2020/06/18 | 2021/01/22 | 10.00          |
| 51715    | Bank Vontobel - Tencent R Bear CBBC Feb 2021 B          | 40,000,000   | 2020/06/18 | 2021/02/19 | 10.00          |

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| 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 51716    | Bank Vontobel - Tencent R Bear CBBC Feb 2021 C             | 40,000,000   | 2020/06/18 | 2021/02/19 | 10.00          |
| 51894    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 W      | 60,000,000   | 2020/06/19 | 2020/12/31 | 15.00          |
| 51895    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 K      | 60,000,000   | 2020/06/19 | 2020/12/31 | 15.00          |
| 51934    | BOCI Asia Ltd. - HKEX R Bull CBBC Dec 2020 D               | 40,000,000   | 2020/06/19 | 2020/12/30 | 10.00          |
| 51935    | BOCI Asia Ltd. - HSBC R Bear CBBC Dec 2020 C               | 40,000,000   | 2020/06/19 | 2020/12/31 | 10.00          |
| 51838    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 G                | 150,000,000  | 2020/06/19 | 2023/01/30 | 37.50          |
| 51843    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 H                | 150,000,000  | 2020/06/19 | 2023/01/30 | 37.50          |
| 51888    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 K                | 150,000,000  | 2020/06/19 | 2023/01/30 | 37.50          |
| 51891    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 H                | 150,000,000  | 2020/06/19 | 2020/10/29 | 37.50          |
| 51892    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 M                | 150,000,000  | 2020/06/19 | 2020/10/29 | 37.50          |
| 51917    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 W   | 40,000,000   | 2020/06/19 | 2020/12/30 | 10.00          |
| 51921    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 R   | 40,000,000   | 2020/06/19 | 2020/12/30 | 11.60          |
| 51914    | BOCI Asia Ltd. - SMIC R Bull CBBC Jan 2021 B               | 150,000,000  | 2020/06/19 | 2021/01/29 | 37.50          |
| 51896    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 R            | 40,000,000   | 2020/06/19 | 2020/12/30 | 10.00          |
| 51901    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 O            | 40,000,000   | 2020/06/19 | 2020/12/30 | 10.00          |
| 51910    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 P            | 40,000,000   | 2020/06/19 | 2020/12/30 | 10.00          |
| 51974    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2021 D    | 50,000,000   | 2020/06/19 | 2021/09/29 | 12.50          |
| 51936    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 F     | 200,000,000  | 2020/06/19 | 2022/10/28 | 50.00          |
| 51937    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 G     | 200,000,000  | 2020/06/19 | 2022/10/28 | 50.00          |
| 51945    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 H     | 200,000,000  | 2020/06/19 | 2022/10/28 | 50.00          |
| 51946    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 I     | 200,000,000  | 2020/06/19 | 2022/10/28 | 50.00          |
| 51947    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 J     | 200,000,000  | 2020/06/19 | 2022/10/28 | 50.00          |
| 51948    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 K     | 200,000,000  | 2020/06/19 | 2022/10/28 | 50.00          |
| 51992    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 I     | 250,000,000  | 2020/06/19 | 2020/11/27 | 62.50          |
| 51996    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 J     | 250,000,000  | 2020/06/19 | 2020/11/27 | 62.50          |
| 52006    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Nov 2020 K     | 250,000,000  | 2020/06/19 | 2020/11/27 | 62.50          |
| 51988    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 A | 50,000,000   | 2020/06/19 | 2020/12/30 | 12.50          |
| 51990    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 M | 50,000,000   | 2020/06/19 | 2020/12/30 | 12.50          |
| 51949    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 V | 50,000,000   | 2020/06/19 | 2020/12/30 | 12.50          |
| 51952    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 O | 50,000,000   | 2020/06/19 | 2020/11/27 | 12.50          |
| 51970    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 P | 50,000,000   | 2020/06/19 | 2020/11/27 | 27.50          |
| 51959    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 D | 50,000,000   | 2020/06/19 | 2020/12/30 | 12.50          |
| 51972    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 U | 50,000,000   | 2020/06/19 | 2020/12/30 | 32.50          |
| 51950    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 Y | 50,000,000   | 2020/06/19 | 2020/12/30 | 12.50          |
| 57305    | Credit Suisse AG - AIA R Bear CBBC Nov 2020 C              | 70,000,000   | 2020/06/19 | 2020/11/27 | 17.50          |
| 57223    | Credit Suisse AG - Alibaba Group R Bull CBBC Oct 2020 N    | 50,000,000   | 2020/06/19 | 2020/10/29 | 12.50          |
| 57250    | Credit Suisse AG - Galaxy Ent R Bull CBBC Nov 2020 G       | 80,000,000   | 2020/06/19 | 2020/11/27 | 20.00          |
| 57240    | Credit Suisse AG - HSBC R Bear CBBC Jan 2021 C             | 70,000,000   | 2020/06/19 | 2021/01/22 | 17.50          |
| 57164    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 N              | 200,000,000  | 2020/06/19 | 2023/03/30 | 50.00          |
| 57168    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 O              | 200,000,000  | 2020/06/19 | 2023/03/30 | 50.00          |
| 57212    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 P              | 200,000,000  | 2020/06/19 | 2023/03/30 | 50.00          |
| 57171    | Credit Suisse AG - HSI R Bull CBBC Apr 2023 G              | 200,000,000  | 2020/06/19 | 2023/04/27 | 50.00          |
| 57177    | Credit Suisse AG - HSI R Bull CBBC Apr 2023 H              | 200,000,000  | 2020/06/19 | 2023/04/27 | 50.00          |
| 57273    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 P              | 200,000,000  | 2020/06/19 | 2020/10/29 | 50.00          |
| 57277    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 S              | 200,000,000  | 2020/06/19 | 2020/11/27 | 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 57281    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 U               | 200,000,000  | 2020/06/19 | 2020/11/27 | 50.00          |
| 57302    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 Y               | 200,000,000  | 2020/06/19 | 2020/11/27 | 50.00          |
| 57284    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 Q               | 300,000,000  | 2020/06/19 | 2020/12/30 | 75.00          |
| 57224    | Credit Suisse AG - Meituan Dianping R Bull CBBC Apr 2021 C  | 150,000,000  | 2020/06/19 | 2021/04/29 | 37.50          |
| 57241    | Credit Suisse AG - Ping An R Bear CBBC Nov 2020 D           | 60,000,000   | 2020/06/19 | 2020/11/27 | 15.00          |
| 57271    | Credit Suisse AG - Sands China R Bull CBBC Mar 2021 D       | 60,000,000   | 2020/06/19 | 2021/03/30 | 15.00          |
| 57248    | Credit Suisse AG - Tencent R Bull CBBC Oct 2020 S           | 50,000,000   | 2020/06/19 | 2020/10/29 | 12.50          |
| 57668    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 N    | 60,000,000   | 2020/06/19 | 2020/10/30 | 15.00          |
| 57692    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Oct 2020 A    | 60,000,000   | 2020/06/19 | 2020/10/30 | 15.00          |
| 57571    | Goldman Sachs SP (Asia) - HSI R Bull CBBC May 2023 U        | 160,000,000  | 2020/06/19 | 2023/05/30 | 40.00          |
| 57589    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 F        | 160,000,000  | 2020/06/19 | 2021/01/28 | 40.00          |
| 57592    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 G        | 160,000,000  | 2020/06/19 | 2021/01/28 | 40.00          |
| 57603    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 H        | 160,000,000  | 2020/06/19 | 2021/01/28 | 40.00          |
| 57572    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 R        | 160,000,000  | 2020/06/19 | 2021/02/25 | 40.00          |
| 57574    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 S        | 160,000,000  | 2020/06/19 | 2021/02/25 | 40.00          |
| 57640    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Jun 2021 F    | 60,000,000   | 2020/06/19 | 2021/06/30 | 15.00          |
| 57656    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Jun 2021 G    | 60,000,000   | 2020/06/19 | 2021/06/30 | 15.00          |
| 57636    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 K    | 60,000,000   | 2020/06/19 | 2020/10/30 | 15.00          |
| 57631    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 W    | 60,000,000   | 2020/06/19 | 2020/10/30 | 15.00          |
| 57633    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Jun 2021 I    | 60,000,000   | 2020/06/19 | 2021/06/30 | 15.00          |
| 51874    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 M              | 40,000,000   | 2020/06/19 | 2020/11/02 | 10.00          |
| 51850    | HK Bank - HKEX R Bull CBBC Nov 2020 M                       | 40,000,000   | 2020/06/19 | 2020/11/26 | 10.00          |
| 51863    | HK Bank - HKEX R Bear CBBC Nov 2020 F                       | 40,000,000   | 2020/06/19 | 2020/11/02 | 10.00          |
| 51834    | HK Bank - HSI R Bull CBBC May 2022 T                        | 100,000,000  | 2020/06/19 | 2022/05/30 | 25.00          |
| 51836    | HK Bank - HSI R Bull CBBC May 2022 U                        | 60,000,000   | 2020/06/19 | 2022/05/30 | 15.00          |
| 51878    | HK Bank - HSI R Bear CBBC Oct 2020 V                        | 100,000,000  | 2020/06/19 | 2020/10/29 | 25.00          |
| 51881    | HK Bank - HSI R Bear CBBC Oct 2020 W                        | 60,000,000   | 2020/06/19 | 2020/10/29 | 15.00          |
| 51870    | HK Bank - Meituan Dianping R Bull CBBC Nov 2020 K           | 40,000,000   | 2020/06/19 | 2020/11/05 | 10.00          |
| 57528    | Haitong Int'l Sec - Alibaba Group R Bull CBBC Feb 2022 B    | 80,000,000   | 2020/06/19 | 2022/02/25 | 20.00          |
| 57504    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 L              | 150,000,000  | 2020/06/19 | 2023/04/27 | 37.50          |
| 57511    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 M              | 150,000,000  | 2020/06/19 | 2023/04/27 | 37.50          |
| 57512    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 N              | 150,000,000  | 2020/06/19 | 2023/04/27 | 37.50          |
| 57548    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 Y              | 200,000,000  | 2020/06/19 | 2020/09/29 | 50.00          |
| 57538    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 D              | 200,000,000  | 2020/06/19 | 2020/10/29 | 50.00          |
| 57537    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 Q              | 150,000,000  | 2020/06/19 | 2020/10/29 | 37.50          |
| 57533    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Feb 2022 B | 80,000,000   | 2020/06/19 | 2022/02/25 | 20.00          |
| 57568    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Mar 2022 A | 80,000,000   | 2020/06/19 | 2022/03/30 | 20.00          |
| 57521    | Haitong Int'l Sec - Tencent R Bull CBBC Feb 2022 B          | 60,000,000   | 2020/06/19 | 2022/02/25 | 15.00          |
| 57561    | Haitong Int'l Sec - Tencent R Bear CBBC Feb 2022 B          | 60,000,000   | 2020/06/19 | 2022/02/25 | 15.00          |
| 57567    | Haitong Int'l Sec - Tencent R Bear CBBC Feb 2022 C          | 60,000,000   | 2020/06/19 | 2022/02/25 | 15.00          |
| 57048    | J P Morgan SP BV - Alibaba Group R Bear CBBC Jan 2021 B     | 80,000,000   | 2020/06/19 | 2021/01/08 | 20.00          |
| 57053    | J P Morgan SP BV - HKEX R Bull CBBC Jan 2021 C              | 40,000,000   | 2020/06/19 | 2021/01/15 | 10.00          |
| 56065    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 E               | 200,000,000  | 2020/06/19 | 2023/02/27 | 50.00          |
| 54778    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 I               | 200,000,000  | 2020/06/19 | 2023/03/30 | 50.00          |
| 54620    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 V               | 200,000,000  | 2020/06/19 | 2023/03/30 | 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) |
|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 54555    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 J                | 200,000,000  | 2020/06/19 | 2023/04/27 | 50.00          |
| 56118    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 A                | 200,000,000  | 2020/06/19 | 2023/09/28 | 50.00          |
| 57086    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 B                | 200,000,000  | 2020/06/19 | 2023/09/28 | 50.00          |
| 57089    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 C                | 200,000,000  | 2020/06/19 | 2023/09/28 | 50.00          |
| 57059    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 F                | 200,000,000  | 2020/06/19 | 2020/10/29 | 50.00          |
| 56568    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 G                | 200,000,000  | 2020/06/19 | 2020/10/29 | 50.00          |
| 56825    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 A                | 200,000,000  | 2020/06/19 | 2020/11/27 | 50.00          |
| 57062    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 B                | 200,000,000  | 2020/06/19 | 2020/11/27 | 50.00          |
| 56795    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 U                | 200,000,000  | 2020/06/19 | 2020/11/27 | 50.00          |
| 56796    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 W                | 200,000,000  | 2020/06/19 | 2020/11/27 | 50.00          |
| 56894    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Feb 2021 A   | 80,000,000   | 2020/06/19 | 2021/02/11 | 20.00          |
| 57026    | J P Morgan SP BV - Tencent R Bull CBBC Jan 2021 C            | 50,000,000   | 2020/06/19 | 2021/01/15 | 12.50          |
| 51845    | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 H    | 150,000,000  | 2020/06/19 | 2023/04/27 | 37.50          |
| 51846    | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 I    | 150,000,000  | 2020/06/19 | 2023/04/27 | 37.50          |
| 51844    | Morgan Stanley Asia Products - HSI R Bull CBBC May 2023 C    | 150,000,000  | 2020/06/19 | 2023/05/30 | 37.50          |
| 57133    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 J    | 150,000,000  | 2020/06/19 | 2020/09/29 | 37.50          |
| 57145    | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 M    | 150,000,000  | 2020/06/19 | 2020/11/27 | 37.50          |
| 51875    | Morgan Stanley Asia Products - Meituan R Bull CBBC Jan 2021B | 40,000,000   | 2020/06/19 | 2021/01/18 | 10.00          |
| 51873    | Morgan Stanley Asia Products - Meituan R Bull CBBC Feb 2021A | 40,000,000   | 2020/06/19 | 2021/02/01 | 10.00          |
| 51880    | Morgan Stanley Asia Products - Meituan R Bear CBBC Mar 2021C | 40,000,000   | 2020/06/19 | 2021/03/15 | 10.00          |
| 51877    | Morgan Stanley Asia Products - Meituan R Bear CBBC Apr 2021A | 40,000,000   | 2020/06/19 | 2021/04/01 | 13.80          |
| 51868    | Morgan Stanley Asia Products - Tencent R Bull CBBC Dec 2020F | 40,000,000   | 2020/06/19 | 2020/12/18 | 10.00          |
| 51858    | Morgan Stanley Asia Products - Tencent R Bear CBBC Mar 2021D | 40,000,000   | 2020/06/19 | 2021/03/08 | 10.00          |
| 51849    | Morgan Stanley Asia Products - Tencent R Bear CBBC Apr 2021A | 40,000,000   | 2020/06/19 | 2021/04/15 | 14.80          |
| 57318    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 X             | 60,000,000   | 2020/06/19 | 2020/12/30 | 15.00          |
| 57411    | SG Issuer - Alibaba Group R Bear CBBC Jan 2021 O             | 60,000,000   | 2020/06/19 | 2021/01/28 | 15.00          |
| 57337    | SG Issuer - HKEX R Bull CBBC Dec 2020 N                      | 50,000,000   | 2020/06/19 | 2020/12/31 | 12.50          |
| 57480    | SG Issuer - HSI R Bull CBBC Sep 2023 G                       | 250,000,000  | 2020/06/19 | 2023/09/28 | 62.50          |
| 57384    | SG Issuer - HSI R Bull CBBC Oct 2023 J                       | 250,000,000  | 2020/06/19 | 2023/10/30 | 62.50          |
| 57388    | SG Issuer - HSI R Bull CBBC Oct 2023 K                       | 250,000,000  | 2020/06/19 | 2023/10/30 | 62.50          |
| 57389    | SG Issuer - HSI R Bull CBBC Oct 2023 L                       | 250,000,000  | 2020/06/19 | 2023/10/30 | 62.50          |
| 57490    | SG Issuer - HSI R Bull CBBC Oct 2023 M                       | 250,000,000  | 2020/06/19 | 2023/10/30 | 62.50          |
| 57491    | SG Issuer - HSI R Bull CBBC Oct 2023 N                       | 250,000,000  | 2020/06/19 | 2023/10/30 | 62.50          |
| 57478    | SG Issuer - HSI R Bear CBBC Oct 2020 Z                       | 250,000,000  | 2020/06/19 | 2020/10/29 | 62.50          |
| 57464    | SG Issuer - HSI R Bear CBBC Nov 2020 M                       | 250,000,000  | 2020/06/19 | 2020/11/27 | 62.50          |
| 57468    | SG Issuer - HSI R Bear CBBC Dec 2020 L                       | 250,000,000  | 2020/06/19 | 2020/12/30 | 62.50          |
| 57466    | SG Issuer - HSI R Bear CBBC Dec 2020 Z                       | 250,000,000  | 2020/06/19 | 2020/12/30 | 62.50          |
| 57493    | SG Issuer - HSI R Bear CBBC Mar 2021 D                       | 500,000,000  | 2020/06/19 | 2021/03/30 | 125.00         |
| 57425    | SG Issuer - Meituan Dianping R Bull CBBC Dec 2020 Z          | 100,000,000  | 2020/06/19 | 2020/12/30 | 25.00          |
| 57447    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 N          | 100,000,000  | 2020/06/19 | 2021/01/29 | 25.00          |
| 57373    | SG Issuer - Meituan Dianping R Bear CBBC Dec 2020 T          | 100,000,000  | 2020/06/19 | 2020/12/30 | 25.00          |
| 57495    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 J          | 100,000,000  | 2020/06/19 | 2021/02/25 | 31.50          |
| 57455    | SG Issuer - Sands China R Bear CBBC Mar 2021 A               | 100,000,000  | 2020/06/19 | 2021/03/30 | 25.00          |
| 57456    | SG Issuer - SMIC R Bull CBBC Jan 2021 D                      | 120,000,000  | 2020/06/19 | 2021/01/29 | 30.00          |
| 57375    | SG Issuer - Tencent R Bull CBBC Dec 2020 S                   | 80,000,000   | 2020/06/19 | 2020/12/31 | 20.00          |

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|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 57457    | SG Issuer - Tencent R Bear CBBC Dec 2020 C              | 80,000,000   | 2020/06/19 | 2020/12/30 | 20.00          |
| 57376    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 O               | 60,000,000   | 2020/06/19 | 2020/12/31 | 15.00          |
| 52046    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 N           | 80,000,000   | 2020/06/19 | 2021/02/01 | 20.00          |
| 52057    | UBS AG - Alibaba Group R Bull CBBC Mar 2021 F           | 400,000,000  | 2020/06/19 | 2021/03/15 | 100.00         |
| 52874    | UBS AG - Alibaba Group R Bear CBBC Jan 2021 H           | 50,000,000   | 2020/06/19 | 2021/01/11 | 12.50          |
| 52044    | UBS AG - HKEX R Bull CBBC Feb 2021 H                    | 50,000,000   | 2020/06/19 | 2021/02/01 | 12.50          |
| 52012    | UBS AG - HSI R Bull CBBC Sep 2022 D                     | 200,000,000  | 2020/06/19 | 2022/09/29 | 50.00          |
| 52017    | UBS AG - HSI R Bull CBBC Sep 2022 E                     | 200,000,000  | 2020/06/19 | 2022/09/29 | 50.00          |
| 52018    | UBS AG - HSI R Bull CBBC Sep 2022 F                     | 200,000,000  | 2020/06/19 | 2022/09/29 | 50.00          |
| 52647    | UBS AG - HSI R Bull CBBC Sep 2022 G                     | 200,000,000  | 2020/06/19 | 2022/09/29 | 50.00          |
| 52646    | UBS AG - HSI R Bull CBBC Sep 2022 H                     | 200,000,000  | 2020/06/19 | 2022/09/29 | 50.00          |
| 52007    | UBS AG - HSI R Bull CBBC Sep 2022 V                     | 200,000,000  | 2020/06/19 | 2022/09/29 | 50.00          |
| 52010    | UBS AG - HSI R Bull CBBC Sep 2022 W                     | 200,000,000  | 2020/06/19 | 2022/09/29 | 50.00          |
| 52644    | UBS AG - HSI R Bear CBBC Oct 2020 A                     | 200,000,000  | 2020/06/19 | 2020/10/29 | 50.00          |
| 52541    | UBS AG - HSI R Bear CBBC Oct 2020 F                     | 200,000,000  | 2020/06/19 | 2020/10/29 | 50.00          |
| 52538    | UBS AG - HSI R Bear CBBC Oct 2020 I                     | 200,000,000  | 2020/06/19 | 2020/10/29 | 50.00          |
| 52565    | UBS AG - HSI R Bear CBBC Oct 2020 O                     | 400,000,000  | 2020/06/19 | 2020/10/29 | 100.00         |
| 52643    | UBS AG - HSI R Bear CBBC Oct 2020 X                     | 200,000,000  | 2020/06/19 | 2020/10/29 | 50.00          |
| 52981    | UBS AG - Meituan Dianping R Bull CBBC Jan 2021 J        | 50,000,000   | 2020/06/19 | 2021/01/11 | 12.50          |
| 52035    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 J        | 50,000,000   | 2020/06/19 | 2020/12/28 | 12.50          |
| 52027    | UBS AG - Tencent R Bull CBBC Jan 2021 O                 | 40,000,000   | 2020/06/19 | 2021/01/08 | 10.00          |
| 52032    | UBS AG - Tencent R Bull CBBC Jan 2021 P                 | 200,000,000  | 2020/06/19 | 2021/01/05 | 50.00          |
| 52760    | UBS AG - Tencent R Bear CBBC Dec 2020 S                 | 40,000,000   | 2020/06/19 | 2020/12/30 | 10.00          |
| 52761    | UBS AG - Tencent R Bear CBBC Jan 2021 O                 | 40,000,000   | 2020/06/19 | 2021/01/11 | 10.00          |
| 52045    | UBS AG - Xiaomi R Bull CBBC Feb 2021 G                  | 60,000,000   | 2020/06/19 | 2021/02/01 | 15.00          |
| 53883    | Bank Vontobel - AAC Tech R Bear CBBC Jan 2021 B         | 40,000,000   | 2020/06/19 | 2021/01/08 | 10.00          |
| 53505    | Bank Vontobel - AIA R Bull CBBC Mar 2021 B              | 40,000,000   | 2020/06/19 | 2021/03/05 | 10.00          |
| 54040    | Bank Vontobel - Alibaba Group R Bull CBBC Feb 2021 E    | 40,000,000   | 2020/06/19 | 2021/02/05 | 10.00          |
| 53894    | Bank Vontobel - CNOOC R Bear CBBC Jan 2021 C            | 40,000,000   | 2020/06/19 | 2021/01/15 | 10.00          |
| 53504    | Bank Vontobel - HSBC R Bull CBBC Mar 2021 C             | 40,000,000   | 2020/06/19 | 2021/03/05 | 10.00          |
| 54245    | Bank Vontobel - HSI N Bull CBBC Sep 2022 P              | 40,000,000   | 2020/06/19 | 2022/09/29 | 10.00          |
| 53225    | Bank Vontobel - HSI N Bear CBBC Dec 2020 L              | 40,000,000   | 2020/06/19 | 2020/12/30 | 10.00          |
| 53049    | Bank Vontobel - HSI R Bull CBBC Sep 2022 N              | 80,000,000   | 2020/06/19 | 2022/09/29 | 20.00          |
| 54041    | Bank Vontobel - HSI R Bull CBBC Sep 2022 O              | 80,000,000   | 2020/06/19 | 2022/09/29 | 20.00          |
| 53078    | Bank Vontobel - HSI R Bear CBBC Dec 2020 K              | 80,000,000   | 2020/06/19 | 2020/12/30 | 20.00          |
| 54036    | Bank Vontobel - HSI R Bear CBBC Dec 2020 N              | 80,000,000   | 2020/06/19 | 2020/12/30 | 20.00          |
| 54037    | Bank Vontobel - HSI R Bear CBBC Dec 2020 O              | 80,000,000   | 2020/06/19 | 2020/12/30 | 20.00          |
| 53606    | Bank Vontobel - Meituan Dianping R Bull CBBC Mar 2021 H | 60,000,000   | 2020/06/19 | 2021/03/05 | 15.00          |
| 53708    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 P | 60,000,000   | 2020/06/19 | 2021/01/15 | 18.00          |
| 53916    | Bank Vontobel - SUNAC R Bear CBBC Jan 2021 A            | 40,000,000   | 2020/06/19 | 2021/01/08 | 10.00          |
| 53881    | Bank Vontobel - Sunny Optical R Bear CBBC Dec 2020 G    | 40,000,000   | 2020/06/19 | 2020/12/18 | 10.00          |
| 53351    | Bank Vontobel - Xiaomi R Bull CBBC Feb 2021 G           | 40,000,000   | 2020/06/19 | 2021/02/05 | 10.00          |
| 57808    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 E             | 150,000,000  | 2020/06/22 | 2023/01/30 | 37.50          |
| 57810    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 F             | 150,000,000  | 2020/06/22 | 2023/01/30 | 37.50          |
| 57794    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 L             | 150,000,000  | 2020/06/22 | 2023/01/30 | 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 57829    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 M              | 150,000,000  | 2020/06/22 | 2023/01/30 | 37.50          |
| 58775    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 A              | 150,000,000  | 2020/06/22 | 2020/10/29 | 37.50          |
| 58739    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 S              | 150,000,000  | 2020/06/22 | 2020/10/29 | 37.50          |
| 58752    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 V              | 150,000,000  | 2020/06/22 | 2020/10/29 | 37.50          |
| 57786    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 X | 40,000,000   | 2020/06/22 | 2020/12/30 | 10.00          |
| 57788    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 S | 40,000,000   | 2020/06/22 | 2020/12/30 | 10.00          |
| 57789    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 T | 40,000,000   | 2020/06/22 | 2020/12/30 | 10.00          |
| 58782    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 R          | 40,000,000   | 2020/06/22 | 2020/12/30 | 10.00          |
| 57855    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 I   | 200,000,000  | 2020/06/22 | 2022/11/29 | 50.00          |
| 57856    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 J   | 200,000,000  | 2020/06/22 | 2022/11/29 | 50.00          |
| 58784    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 K   | 190,000,000  | 2020/06/22 | 2022/11/29 | 47.50          |
| 57839    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 A   | 250,000,000  | 2020/06/22 | 2020/10/29 | 62.50          |
| 57844    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 X   | 250,000,000  | 2020/06/22 | 2020/10/29 | 62.50          |
| 58792    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 G   | 250,000,000  | 2020/06/22 | 2020/12/30 | 62.50          |
| 58806    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 V   | 250,000,000  | 2020/06/22 | 2020/12/30 | 62.50          |
| 58824    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 X   | 250,000,000  | 2020/06/22 | 2020/12/30 | 62.50          |
| 58826    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Y   | 250,000,000  | 2020/06/22 | 2020/12/30 | 62.50          |
| 58382    | Credit Suisse AG - Alibaba Group R Bull CBBC Dec 2020 D  | 50,000,000   | 2020/06/22 | 2020/12/18 | 12.50          |
| 58395    | Credit Suisse AG - Galaxy Ent R Bear CBBC Nov 2020 E     | 80,000,000   | 2020/06/22 | 2020/11/27 | 20.00          |
| 58369    | Credit Suisse AG - HKEX R Bull CBBC Dec 2020 J           | 50,000,000   | 2020/06/22 | 2020/12/18 | 12.50          |
| 58297    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 R            | 200,000,000  | 2020/06/22 | 2023/01/30 | 50.00          |
| 58301    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 S            | 200,000,000  | 2020/06/22 | 2023/01/30 | 50.00          |
| 58361    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 T            | 200,000,000  | 2020/06/22 | 2023/01/30 | 50.00          |
| 58413    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 U            | 200,000,000  | 2020/06/22 | 2023/01/30 | 50.00          |
| 58448    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 Q            | 200,000,000  | 2020/06/22 | 2023/03/30 | 50.00          |
| 58465    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 R            | 200,000,000  | 2020/06/22 | 2023/03/30 | 50.00          |
| 58479    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 S            | 200,000,000  | 2020/06/22 | 2023/03/30 | 50.00          |
| 58484    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 D            | 200,000,000  | 2020/06/22 | 2020/09/29 | 50.00          |
| 58549    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 E            | 200,000,000  | 2020/06/22 | 2020/09/29 | 50.00          |
| 58624    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 S            | 200,000,000  | 2020/06/22 | 2020/10/29 | 50.00          |
| 58622    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 A            | 200,000,000  | 2020/06/22 | 2020/11/27 | 50.00          |
| 58699    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 C            | 200,000,000  | 2020/06/22 | 2020/11/27 | 50.00          |
| 58486    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 H            | 200,000,000  | 2020/06/22 | 2020/11/27 | 50.00          |
| 58406    | Credit Suisse AG - Sunny Optical R Bear CBBC Nov 2020 E  | 40,000,000   | 2020/06/22 | 2020/11/27 | 10.00          |
| 58402    | Credit Suisse AG - Tencent R Bear CBBC Nov 2020 C        | 50,000,000   | 2020/06/22 | 2020/11/27 | 12.50          |
| 59579    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 O | 60,000,000   | 2020/06/22 | 2020/10/30 | 15.00          |
| 59592    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Oct 2020 B | 60,000,000   | 2020/06/22 | 2020/10/30 | 15.00          |
| 59504    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 K     | 160,000,000  | 2020/06/22 | 2023/09/28 | 40.00          |
| 59506    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 L     | 160,000,000  | 2020/06/22 | 2023/09/28 | 40.00          |
| 59521    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 M     | 160,000,000  | 2020/06/22 | 2023/09/28 | 40.00          |
| 59545    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 N     | 160,000,000  | 2020/06/22 | 2023/09/28 | 40.00          |
| 59657    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 O     | 160,000,000  | 2020/06/22 | 2023/09/28 | 40.00          |
| 59676    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 P     | 160,000,000  | 2020/06/22 | 2023/09/28 | 40.00          |
| 59685    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 Q     | 160,000,000  | 2020/06/22 | 2023/09/28 | 40.00          |
| 59725    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 R     | 160,000,000  | 2020/06/22 | 2023/09/28 | 40.00          |

# 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) |
|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 59640    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 I      | 160,000,000  | 2020/06/22 | 2021/01/28 | 40.00          |
| 59643    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 J      | 160,000,000  | 2020/06/22 | 2021/01/28 | 40.00          |
| 59644    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 K      | 160,000,000  | 2020/06/22 | 2021/01/28 | 40.00          |
| 59649    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 L      | 160,000,000  | 2020/06/22 | 2021/01/28 | 40.00          |
| 59615    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 T      | 160,000,000  | 2020/06/22 | 2021/02/25 | 40.00          |
| 59638    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 Y      | 160,000,000  | 2020/06/22 | 2021/02/25 | 40.00          |
| 59570    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Jun 2021 H  | 60,000,000   | 2020/06/22 | 2021/06/30 | 15.00          |
| 59559    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 U  | 60,000,000   | 2020/06/22 | 2020/10/30 | 15.54          |
| 57740    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 N            | 40,000,000   | 2020/06/22 | 2020/11/23 | 10.00          |
| 57735    | HK Bank - Alibaba Group R Bear CBBC Nov 2020 E            | 40,000,000   | 2020/06/22 | 2020/11/12 | 10.00          |
| 57709    | HK Bank - China Mobile R Bear CBBC Nov 2020 B             | 40,000,000   | 2020/06/22 | 2020/11/16 | 10.00          |
| 57733    | HK Bank - Galaxy Ent R Bear CBBC Nov 2020 C               | 40,000,000   | 2020/06/22 | 2020/11/16 | 10.00          |
| 57761    | HK Bank - HKEX R Bear CBBC Nov 2020 G                     | 40,000,000   | 2020/06/22 | 2020/11/12 | 10.00          |
| 57779    | HK Bank - HSCEI R Bear CBBC Oct 2020 B                    | 50,000,000   | 2020/06/22 | 2020/10/29 | 12.50          |
| 57708    | HK Bank - HSI R Bull CBBC Dec 2022 J                      | 60,000,000   | 2020/06/22 | 2022/12/29 | 15.00          |
| 57777    | HK Bank - HSI R Bear CBBC Oct 2020 X                      | 100,000,000  | 2020/06/22 | 2020/10/29 | 25.00          |
| 57860    | HK Bank - HSI R Bear CBBC Oct 2020 Y                      | 60,000,000   | 2020/06/22 | 2020/10/29 | 15.00          |
| 57762    | HK Bank - Tencent R Bear CBBC Nov 2020 I                  | 40,000,000   | 2020/06/22 | 2020/11/12 | 10.00          |
| 59378    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2023 A            | 150,000,000  | 2020/06/22 | 2023/10/30 | 37.50          |
| 59380    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2023 B            | 150,000,000  | 2020/06/22 | 2023/10/30 | 37.50          |
| 59381    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2023 C            | 200,000,000  | 2020/06/22 | 2023/10/30 | 50.00          |
| 59425    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 M            | 150,000,000  | 2020/06/22 | 2020/09/29 | 37.50          |
| 59446    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 F            | 150,000,000  | 2020/06/22 | 2020/10/29 | 37.50          |
| 59502    | Haitong Int'l Sec - HSI R Bear CBBC Oct 2020 G            | 200,000,000  | 2020/06/22 | 2020/10/29 | 50.00          |
| 59481    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 O            | 200,000,000  | 2020/06/22 | 2020/11/27 | 50.00          |
| 57910    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 T             | 200,000,000  | 2020/06/22 | 2023/02/27 | 50.00          |
| 57982    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 K             | 200,000,000  | 2020/06/22 | 2023/03/30 | 50.00          |
| 57922    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 K             | 200,000,000  | 2020/06/22 | 2023/04/27 | 50.00          |
| 57969    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 L             | 200,000,000  | 2020/06/22 | 2023/04/27 | 50.00          |
| 57874    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 D             | 200,000,000  | 2020/06/22 | 2023/09/28 | 50.00          |
| 57916    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 E             | 200,000,000  | 2020/06/22 | 2023/09/28 | 50.00          |
| 57984    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 F             | 200,000,000  | 2020/06/22 | 2023/09/28 | 50.00          |
| 57986    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 R             | 200,000,000  | 2020/06/22 | 2023/09/28 | 50.00          |
| 58003    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 C             | 200,000,000  | 2020/06/22 | 2020/11/27 | 50.00          |
| 57988    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 G             | 200,000,000  | 2020/06/22 | 2020/11/27 | 50.00          |
| 57936    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 L             | 200,000,000  | 2020/06/22 | 2020/11/27 | 50.00          |
| 57937    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 M             | 200,000,000  | 2020/06/22 | 2020/11/27 | 50.00          |
| 57987    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 X             | 200,000,000  | 2020/06/22 | 2020/11/27 | 50.00          |
| 57967    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 B             | 200,000,000  | 2020/06/22 | 2020/12/30 | 50.00          |
| 57993    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 D             | 200,000,000  | 2020/06/22 | 2020/12/30 | 50.00          |
| 58010    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 H             | 200,000,000  | 2020/06/22 | 2020/12/30 | 50.00          |
| 58836    | J P Morgan SP BV - Tencent R Bear CBBC Jan 2021 C         | 50,000,000   | 2020/06/22 | 2021/01/08 | 12.50          |
| 57703    | Morgan Stanley Asia Products - HSI R Bull CBBC Mar 2023 J | 150,000,000  | 2020/06/22 | 2023/03/30 | 37.50          |
| 57707    | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 J | 150,000,000  | 2020/06/22 | 2023/04/27 | 37.50          |
| 58737    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 G | 150,000,000  | 2020/06/22 | 2020/10/29 | 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) |
|----------|-----------------------------------------------------|--------------|------------|------------|----------------|
| 58883    | SG Issuer - Alibaba Group R Bull CBBC Jan 2021 I    | 60,000,000   | 2020/06/22 | 2021/01/29 | 15.00          |
| 58932    | SG Issuer - Alibaba Group R Bull CBBC Feb 2021 F    | 60,000,000   | 2020/06/22 | 2021/02/25 | 15.00          |
| 59319    | SG Issuer - Alibaba Group R Bear CBBC Mar 2021 A    | 60,000,000   | 2020/06/22 | 2021/03/30 | 15.00          |
| 58899    | SG Issuer - HKEX R Bull CBBC Jan 2021 G             | 50,000,000   | 2020/06/22 | 2021/01/29 | 12.50          |
| 58974    | SG Issuer - HKEX R Bull CBBC Jan 2021 H             | 50,000,000   | 2020/06/22 | 2021/01/29 | 12.50          |
| 58933    | SG Issuer - HKEX R Bear CBBC Jan 2021 M             | 50,000,000   | 2020/06/22 | 2021/01/28 | 12.50          |
| 58978    | SG Issuer - HSBC R Bear CBBC Jan 2021 D             | 100,000,000  | 2020/06/22 | 2021/01/29 | 25.00          |
| 59104    | SG Issuer - HSI R Bull CBBC Aug 2023 C              | 250,000,000  | 2020/06/22 | 2023/08/30 | 62.50          |
| 58911    | SG Issuer - HSI R Bull CBBC Sep 2023 H              | 250,000,000  | 2020/06/22 | 2023/09/28 | 62.50          |
| 58923    | SG Issuer - HSI R Bull CBBC Sep 2023 I              | 250,000,000  | 2020/06/22 | 2023/09/28 | 62.50          |
| 58931    | SG Issuer - HSI R Bull CBBC Sep 2023 J              | 250,000,000  | 2020/06/22 | 2023/09/28 | 62.50          |
| 59283    | SG Issuer - HSI R Bull CBBC Sep 2023 K              | 250,000,000  | 2020/06/22 | 2023/09/28 | 62.50          |
| 59161    | SG Issuer - HSI R Bull CBBC Oct 2023 O              | 250,000,000  | 2020/06/22 | 2023/10/30 | 62.50          |
| 59291    | SG Issuer - HSI R Bull CBBC Oct 2023 P              | 250,000,000  | 2020/06/22 | 2023/10/30 | 62.50          |
| 59292    | SG Issuer - HSI R Bull CBBC Oct 2023 Q              | 250,000,000  | 2020/06/22 | 2023/10/30 | 62.50          |
| 59311    | SG Issuer - HSI R Bull CBBC Oct 2023 R              | 250,000,000  | 2020/06/22 | 2023/10/30 | 62.50          |
| 59169    | SG Issuer - HSI R Bear CBBC Oct 2020 A              | 250,000,000  | 2020/06/22 | 2020/10/29 | 62.50          |
| 59165    | SG Issuer - HSI R Bear CBBC Oct 2020 F              | 250,000,000  | 2020/06/22 | 2020/10/29 | 62.50          |
| 59168    | SG Issuer - HSI R Bear CBBC Oct 2020 W              | 250,000,000  | 2020/06/22 | 2020/10/29 | 62.50          |
| 59201    | SG Issuer - HSI R Bear CBBC Nov 2020 N              | 250,000,000  | 2020/06/22 | 2020/11/27 | 62.50          |
| 59203    | SG Issuer - HSI R Bear CBBC Nov 2020 W              | 250,000,000  | 2020/06/22 | 2020/11/27 | 62.50          |
| 59235    | SG Issuer - HSI R Bear CBBC Feb 2021 F              | 500,000,000  | 2020/06/22 | 2021/02/25 | 125.00         |
| 58902    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 O | 100,000,000  | 2020/06/22 | 2021/01/29 | 25.00          |
| 59346    | SG Issuer - Meituan Dianping R Bull CBBC Mar 2021 A | 100,000,000  | 2020/06/22 | 2021/03/30 | 25.00          |
| 58979    | SG Issuer - Tencent R Bull CBBC Dec 2020 T          | 80,000,000   | 2020/06/22 | 2020/12/31 | 20.00          |
| 59022    | SG Issuer - Tencent R Bull CBBC Dec 2020 U          | 80,000,000   | 2020/06/22 | 2020/12/31 | 20.00          |
| 58908    | SG Issuer - Tencent R Bull CBBC Jan 2021 O          | 80,000,000   | 2020/06/22 | 2021/01/29 | 20.00          |
| 59365    | SG Issuer - Tencent R Bear CBBC Dec 2020 F          | 80,000,000   | 2020/06/22 | 2020/12/31 | 20.00          |
| 58276    | UBS AG - Alibaba Group R Bear CBBC Mar 2021 C       | 80,000,000   | 2020/06/22 | 2021/03/02 | 20.00          |
| 58096    | UBS AG - China Mobile R Bull CBBC Mar 2021 A        | 80,000,000   | 2020/06/22 | 2021/03/10 | 20.00          |
| 58168    | UBS AG - CNOOC R Bull CBBC Feb 2021 B               | 40,000,000   | 2020/06/22 | 2021/02/26 | 10.00          |
| 58170    | UBS AG - HKEX R Bull CBBC Mar 2021 D                | 50,000,000   | 2020/06/22 | 2021/03/31 | 12.50          |
| 58176    | UBS AG - HSCEI R Bull CBBC Dec 2021 J               | 200,000,000  | 2020/06/22 | 2021/12/30 | 50.00          |
| 58023    | UBS AG - HSI R Bull CBBC Oct 2022 P                 | 200,000,000  | 2020/06/22 | 2022/10/28 | 50.00          |
| 58024    | UBS AG - HSI R Bull CBBC Nov 2022 N                 | 200,000,000  | 2020/06/22 | 2022/11/29 | 50.00          |
| 58028    | UBS AG - HSI R Bull CBBC Nov 2022 X                 | 200,000,000  | 2020/06/22 | 2022/11/29 | 50.00          |
| 58043    | UBS AG - HSI R Bull CBBC Feb 2023 L                 | 200,000,000  | 2020/06/22 | 2023/02/27 | 50.00          |
| 58052    | UBS AG - HSI R Bull CBBC Feb 2023 O                 | 200,000,000  | 2020/06/22 | 2023/02/27 | 50.00          |
| 58053    | UBS AG - HSI R Bull CBBC Feb 2023 P                 | 300,000,000  | 2020/06/22 | 2023/02/27 | 75.00          |
| 58070    | UBS AG - HSI R Bull CBBC Feb 2023 Y                 | 200,000,000  | 2020/06/22 | 2023/02/27 | 50.00          |
| 58200    | UBS AG - HSI R Bear CBBC Oct 2020 C                 | 200,000,000  | 2020/06/22 | 2020/10/29 | 50.00          |
| 58203    | UBS AG - HSI R Bear CBBC Oct 2020 H                 | 200,000,000  | 2020/06/22 | 2020/10/29 | 50.00          |
| 58207    | UBS AG - HSI R Bear CBBC Oct 2020 J                 | 200,000,000  | 2020/06/22 | 2020/10/29 | 50.00          |
| 58216    | UBS AG - HSI R Bear CBBC Oct 2020 Q                 | 200,000,000  | 2020/06/22 | 2020/10/29 | 50.00          |
| 58039    | UBS AG - Meituan Dianping R Bull CBBC Apr 2021 B    | 50,000,000   | 2020/06/22 | 2021/04/13 | 12.50          |



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|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 58196    | UBS AG - Meituan Dianping R Bull CBBC Jul 2021 B         | 200,000,000  | 2020/06/22 | 2021/07/30 | 50.00          |
| 58282    | UBS AG - Meituan Dianping R Bear CBBC Mar 2021 B         | 50,000,000   | 2020/06/22 | 2021/03/01 | 12.50          |
| 58283    | UBS AG - Meituan Dianping R Bear CBBC Mar 2021 C         | 50,000,000   | 2020/06/22 | 2021/03/02 | 12.50          |
| 58097    | UBS AG - SMIC R Bull CBBC Apr 2021 C                     | 100,000,000  | 2020/06/22 | 2021/04/13 | 25.00          |
| 58092    | UBS AG - Tencent R Bull CBBC Mar 2021 K                  | 40,000,000   | 2020/06/22 | 2021/03/09 | 10.00          |
| 58094    | UBS AG - Tencent R Bull CBBC Mar 2021 L                  | 40,000,000   | 2020/06/22 | 2021/03/10 | 10.00          |
| 58221    | UBS AG - Tencent R Bear CBBC Mar 2021 A                  | 40,000,000   | 2020/06/22 | 2021/03/01 | 10.00          |
| 58259    | UBS AG - Tencent R Bear CBBC Mar 2021 B                  | 40,000,000   | 2020/06/22 | 2021/03/02 | 10.00          |
| 58293    | UBS AG - Xiaomi R Bear CBBC Mar 2021 B                   | 60,000,000   | 2020/06/22 | 2021/03/01 | 15.00          |
| 59737    | Bank Vontobel - Alibaba Group R Bear CBBC Jan 2021 C     | 40,000,000   | 2020/06/22 | 2021/01/08 | 10.00          |
| 59732    | Bank Vontobel - Alibaba Group R Bear CBBC Apr 2021 A     | 30,000,000   | 2020/06/22 | 2021/04/16 | 16.05          |
| 59786    | Bank Vontobel - China Mobile R Bull CBBC Mar 2021 B      | 40,000,000   | 2020/06/22 | 2021/03/12 | 10.00          |
| 59787    | Bank Vontobel - China Life R Bear CBBC Mar 2021 A        | 80,000,000   | 2020/06/22 | 2021/03/19 | 20.00          |
| 59788    | Bank Vontobel - China Life R Bear CBBC Mar 2021 B        | 80,000,000   | 2020/06/22 | 2021/03/19 | 20.00          |
| 59789    | Bank Vontobel - Geely Auto R Bear CBBC Dec 2020 I        | 40,000,000   | 2020/06/22 | 2020/12/18 | 10.00          |
| 59773    | Bank Vontobel - Galaxy Ent R Bear CBBC Feb 2021 A        | 40,000,000   | 2020/06/22 | 2021/02/19 | 10.00          |
| 59875    | Bank Vontobel - HSBC R Bear CBBC Mar 2021 A              | 40,000,000   | 2020/06/22 | 2021/03/05 | 10.00          |
| 59859    | Bank Vontobel - HSI N Bull CBBC Sep 2022 S               | 40,000,000   | 2020/06/22 | 2022/09/29 | 10.00          |
| 59862    | Bank Vontobel - HSI N Bear CBBC Dec 2020 R               | 40,000,000   | 2020/06/22 | 2020/12/30 | 10.00          |
| 59749    | Bank Vontobel - HSI R Bull CBBC Sep 2022 Q               | 80,000,000   | 2020/06/22 | 2022/09/29 | 20.00          |
| 59846    | Bank Vontobel - HSI R Bull CBBC Sep 2022 R               | 80,000,000   | 2020/06/22 | 2022/09/29 | 20.00          |
| 59850    | Bank Vontobel - HSI R Bear CBBC Dec 2020 M               | 80,000,000   | 2020/06/22 | 2020/12/30 | 20.00          |
| 59750    | Bank Vontobel - HSI R Bear CBBC Dec 2020 P               | 80,000,000   | 2020/06/22 | 2020/12/30 | 20.00          |
| 59852    | Bank Vontobel - HSI R Bear CBBC Dec 2020 Q               | 80,000,000   | 2020/06/22 | 2020/12/30 | 20.00          |
| 59726    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 L  | 60,000,000   | 2020/06/22 | 2021/02/05 | 15.00          |
| 59727    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 Q  | 60,000,000   | 2020/06/22 | 2021/01/08 | 15.00          |
| 59794    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 R  | 60,000,000   | 2020/06/22 | 2021/01/08 | 15.00          |
| 59767    | Bank Vontobel - Tencent R Bear CBBC Feb 2021 D           | 40,000,000   | 2020/06/22 | 2021/02/19 | 10.00          |
| 59798    | Bank Vontobel - Xiaomi R Bear CBBC Jan 2021 D            | 40,000,000   | 2020/06/22 | 2021/01/08 | 10.00          |
| 52081    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 X    | 60,000,000   | 2020/06/23 | 2020/12/31 | 15.00          |
| 52082    | BOCI Asia Ltd. - Geely Auto R Bull CBBC Dec 2020 D       | 40,000,000   | 2020/06/23 | 2020/12/31 | 10.00          |
| 52069    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 N              | 150,000,000  | 2020/06/23 | 2023/01/30 | 37.50          |
| 52070    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 O              | 150,000,000  | 2020/06/23 | 2023/01/30 | 37.50          |
| 52072    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 J              | 150,000,000  | 2020/06/23 | 2020/10/29 | 37.50          |
| 52078    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 N              | 150,000,000  | 2020/06/23 | 2020/10/29 | 37.50          |
| 52073    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 O              | 150,000,000  | 2020/06/23 | 2020/10/29 | 37.50          |
| 52079    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 R              | 150,000,000  | 2020/06/23 | 2020/10/29 | 37.50          |
| 52094    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 U | 40,000,000   | 2020/06/23 | 2020/12/30 | 14.00          |
| 52080    | BOCI Asia Ltd. - Ping An R Bull CBBC Oct 2020 C          | 60,000,000   | 2020/06/23 | 2020/10/30 | 15.00          |
| 52091    | BOCI Asia Ltd. - SUNAC R Bull CBBC Dec 2020 B            | 40,000,000   | 2020/06/23 | 2020/12/31 | 10.00          |
| 52093    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 S          | 40,000,000   | 2020/06/23 | 2020/12/30 | 10.00          |
| 52090    | BOCI Asia Ltd. - Xiaomi R Bull CBBC Dec 2020 G           | 40,000,000   | 2020/06/23 | 2020/12/31 | 10.00          |
| 52020    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 L   | 200,000,000  | 2020/06/23 | 2022/11/29 | 50.00          |
| 52021    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 R   | 200,000,000  | 2020/06/23 | 2022/11/29 | 50.00          |
| 52028    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 S   | 200,000,000  | 2020/06/23 | 2022/11/29 | 50.00          |

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| 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 52058    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 T      | 200,000,000  | 2020/06/23 | 2022/11/29 | 50.00          |
| 52059    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 U      | 200,000,000  | 2020/06/23 | 2022/11/29 | 50.00          |
| 52060    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 V      | 200,000,000  | 2020/06/23 | 2022/11/29 | 50.00          |
| 52063    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 W      | 200,000,000  | 2020/06/23 | 2022/11/29 | 50.00          |
| 52233    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 D      | 250,000,000  | 2020/06/23 | 2020/12/30 | 62.50          |
| 52234    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 H      | 240,000,000  | 2020/06/23 | 2020/12/30 | 60.00          |
| 52231    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 Z      | 250,000,000  | 2020/06/23 | 2020/12/30 | 62.50          |
| 52221    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 N  | 50,000,000   | 2020/06/23 | 2020/12/30 | 12.50          |
| 52224    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 Q  | 50,000,000   | 2020/06/23 | 2020/11/27 | 12.50          |
| 52226    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2020 V  | 50,000,000   | 2020/06/23 | 2020/11/27 | 12.50          |
| 52225    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2020 J  | 50,000,000   | 2020/06/23 | 2020/12/30 | 12.50          |
| 52205    | BNP Paribas Issuance B.V. - Xiaomi R Bull CBBC Nov 2021 A   | 50,000,000   | 2020/06/23 | 2021/11/29 | 12.50          |
| 57307    | Credit Suisse AG - AAC Tech R Bull CBBC Jan 2021 A          | 80,000,000   | 2020/06/23 | 2021/01/28 | 20.00          |
| 57153    | Credit Suisse AG - HKEX R Bull CBBC Nov 2020 G              | 50,000,000   | 2020/06/23 | 2020/11/27 | 12.50          |
| 55370    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 V               | 200,000,000  | 2020/06/23 | 2023/01/30 | 50.00          |
| 56892    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 O               | 200,000,000  | 2020/06/23 | 2023/02/27 | 50.00          |
| 56956    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 T               | 200,000,000  | 2020/06/23 | 2023/03/30 | 50.00          |
| 57000    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 U               | 200,000,000  | 2020/06/23 | 2023/03/30 | 50.00          |
| 57004    | Credit Suisse AG - HSI R Bull CBBC Apr 2023 I               | 200,000,000  | 2020/06/23 | 2023/04/27 | 50.00          |
| 57090    | Credit Suisse AG - HSI R Bull CBBC Apr 2023 J               | 200,000,000  | 2020/06/23 | 2023/04/27 | 50.00          |
| 54617    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 Q               | 200,000,000  | 2020/06/23 | 2020/09/29 | 50.00          |
| 54739    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 V               | 200,000,000  | 2020/06/23 | 2020/09/29 | 50.00          |
| 54958    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 T               | 200,000,000  | 2020/06/23 | 2020/10/29 | 50.00          |
| 54500    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 K               | 200,000,000  | 2020/06/23 | 2020/12/30 | 50.00          |
| 54688    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 R               | 200,000,000  | 2020/06/23 | 2020/12/30 | 50.00          |
| 55112    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 S               | 200,000,000  | 2020/06/23 | 2020/12/30 | 50.00          |
| 55365    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 T               | 200,000,000  | 2020/06/23 | 2020/12/30 | 50.00          |
| 54870    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 S               | 300,000,000  | 2020/06/23 | 2021/01/28 | 75.00          |
| 57312    | Credit Suisse AG - Meituan Dianping R Bull CBBC Nov 2020 G  | 80,000,000   | 2020/06/23 | 2020/11/27 | 20.00          |
| 57314    | Credit Suisse AG - Meituan Dianping R Bear CBBC Jan 2021 E  | 100,000,000  | 2020/06/23 | 2021/01/28 | 25.00          |
| 57251    | Credit Suisse AG - SMIC R Bull CBBC Jan 2021 L              | 100,000,000  | 2020/06/23 | 2021/01/28 | 25.00          |
| 57252    | Credit Suisse AG - SMIC R Bear CBBC Dec 2020 D              | 50,000,000   | 2020/06/23 | 2020/12/30 | 12.50          |
| 57311    | Credit Suisse AG - Sunny Optical R Bull CBBC Dec 2020 E     | 40,000,000   | 2020/06/23 | 2020/12/30 | 10.00          |
| 57231    | Credit Suisse AG - ZTE R Bull CBBC Dec 2020 C               | 50,000,000   | 2020/06/23 | 2020/12/30 | 12.50          |
| 59938    | Bank of East Asia - Alibaba Group R Bull CBBC Mar 2021 A    | 40,000,000   | 2020/06/23 | 2021/03/25 | 10.00          |
| 59941    | Bank of East Asia - Alibaba Group R Bear CBBC Mar 2021 A    | 40,000,000   | 2020/06/23 | 2021/03/25 | 10.00          |
| 50471    | Bank of East Asia - Meituan Dianping R Bull CBBC Mar 2021 A | 40,000,000   | 2020/06/23 | 2021/03/26 | 10.00          |
| 50533    | Bank of East Asia - Meituan Dianping R Bear CBBC Mar 2021 A | 40,000,000   | 2020/06/23 | 2021/03/26 | 10.80          |
| 59944    | Bank of East Asia - Tencent R Bull CBBC Mar 2021 A          | 30,000,000   | 2020/06/23 | 2021/03/22 | 10.20          |
| 50355    | Bank of East Asia - Tencent R Bull CBBC Mar 2021 B          | 30,000,000   | 2020/06/23 | 2021/03/22 | 10.20          |
| 59986    | Bank of East Asia - Tencent R Bear CBBC Mar 2021 A          | 30,000,000   | 2020/06/23 | 2021/03/23 | 10.80          |
| 50415    | Bank of East Asia - Tencent R Bear CBBC Mar 2021 B          | 30,000,000   | 2020/06/23 | 2021/03/23 | 10.20          |
| 59993    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 P    | 60,000,000   | 2020/06/23 | 2020/10/30 | 15.00          |
| 57919    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 S        | 160,000,000  | 2020/06/23 | 2023/09/28 | 40.00          |
| 58493    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 T        | 160,000,000  | 2020/06/23 | 2023/09/28 | 40.00          |

# 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 58640    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 U        | 160,000,000  | 2020/06/23 | 2023/09/28 | 40.00          |
| 58951    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Sep 2023 V        | 160,000,000  | 2020/06/23 | 2023/09/28 | 40.00          |
| 58875    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 A        | 160,000,000  | 2020/06/23 | 2023/10/30 | 40.00          |
| 58964    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 B        | 160,000,000  | 2020/06/23 | 2023/10/30 | 40.00          |
| 57820    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 C        | 160,000,000  | 2020/06/23 | 2021/01/28 | 40.00          |
| 57821    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 Q        | 160,000,000  | 2020/06/23 | 2021/01/28 | 40.00          |
| 57426    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 R        | 160,000,000  | 2020/06/23 | 2021/01/28 | 40.00          |
| 57682    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 T        | 160,000,000  | 2020/06/23 | 2021/01/28 | 40.00          |
| 59080    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 U        | 160,000,000  | 2020/06/23 | 2021/01/28 | 40.00          |
| 57451    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 X        | 160,000,000  | 2020/06/23 | 2021/01/28 | 40.00          |
| 57483    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 Z        | 160,000,000  | 2020/06/23 | 2021/01/28 | 40.00          |
| 59953    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 N    | 60,000,000   | 2020/06/23 | 2020/10/30 | 15.00          |
| 59680    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Aug 2021 E    | 80,000,000   | 2020/06/23 | 2021/08/31 | 20.00          |
| 59895    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 V    | 60,000,000   | 2020/06/23 | 2020/10/30 | 15.00          |
| 59950    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Nov 2020 F    | 60,000,000   | 2020/06/23 | 2020/11/30 | 15.00          |
| 59916    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Aug 2021 A    | 80,000,000   | 2020/06/23 | 2021/08/31 | 20.00          |
| 59112    | Goldman Sachs SP (Asia) - Xiaomi R Bull CBBC Oct 2020 K     | 60,000,000   | 2020/06/23 | 2020/10/30 | 15.00          |
| 51912    | HK Bank - AAC Tech R Bull CBBC Jan 2021 D                   | 40,000,000   | 2020/06/23 | 2021/01/11 | 10.00          |
| 51922    | HK Bank - Alibaba Group R Bull CBBC Dec 2020 D              | 40,000,000   | 2020/06/23 | 2020/12/07 | 10.00          |
| 51911    | HK Bank - CNOOC R Bull CBBC Nov 2020 E                      | 40,000,000   | 2020/06/23 | 2020/11/23 | 10.00          |
| 50935    | HK Bank - HSI R Bull CBBC Dec 2022 M                        | 100,000,000  | 2020/06/23 | 2022/12/29 | 25.00          |
| 51362    | HK Bank - HSI R Bull CBBC Dec 2022 X                        | 60,000,000   | 2020/06/23 | 2022/12/29 | 15.00          |
| 50613    | HK Bank - HSI R Bear CBBC Oct 2020 Z                        | 100,000,000  | 2020/06/23 | 2020/10/29 | 25.00          |
| 51693    | HK Bank - Sands China R Bull CBBC Nov 2020 F                | 40,000,000   | 2020/06/23 | 2020/11/26 | 10.00          |
| 51903    | HK Bank - SMIC R Bull CBBC Nov 2020 E                       | 40,000,000   | 2020/06/23 | 2020/11/12 | 10.00          |
| 51743    | HK Bank - SMIC R Bear CBBC Nov 2020 D                       | 40,000,000   | 2020/06/23 | 2020/11/09 | 10.00          |
| 51523    | HK Bank - Sunny Optical R Bull CBBC Dec 2020 A              | 40,000,000   | 2020/06/23 | 2020/12/07 | 10.00          |
| 51288    | HK Bank - Tencent R Bull CBBC Nov 2020 P                    | 40,000,000   | 2020/06/23 | 2020/11/26 | 10.00          |
| 51913    | HK Bank - Xiaomi R Bull CBBC Dec 2020 A                     | 60,000,000   | 2020/06/23 | 2020/12/07 | 15.00          |
| 51217    | HK Bank - ZTE R Bull CBBC Jan 2021 B                        | 40,000,000   | 2020/06/23 | 2021/01/11 | 10.00          |
| 52331    | Haitong Int'l Sec - China Life R Bull CBBC Mar 2021 C       | 60,000,000   | 2020/06/23 | 2021/03/25 | 15.00          |
| 52329    | Haitong Int'l Sec - HKEX R Bull CBBC Dec 2020 D             | 60,000,000   | 2020/06/23 | 2020/12/29 | 15.00          |
| 52345    | Haitong Int'l Sec - HSI R Bull CBBC Mar 2023 Y              | 150,000,000  | 2020/06/23 | 2023/03/30 | 37.50          |
| 52342    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 K              | 150,000,000  | 2020/06/23 | 2023/05/30 | 37.50          |
| 52351    | Haitong Int'l Sec - HSI R Bull CBBC May 2023 L              | 150,000,000  | 2020/06/23 | 2023/05/30 | 37.50          |
| 52287    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 Z              | 150,000,000  | 2020/06/23 | 2020/09/29 | 37.50          |
| 52281    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 K              | 200,000,000  | 2020/06/23 | 2020/12/30 | 50.00          |
| 52286    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 N              | 300,000,000  | 2020/06/23 | 2020/12/30 | 75.00          |
| 52288    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 B              | 150,000,000  | 2020/06/23 | 2021/01/28 | 37.50          |
| 52326    | Haitong Int'l Sec - Link REIT R Bull CBBC Feb 2021 A        | 60,000,000   | 2020/06/23 | 2021/02/25 | 15.00          |
| 52325    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Jan 2021 E | 80,000,000   | 2020/06/23 | 2021/01/28 | 28.32          |
| 52330    | Haitong Int'l Sec - SUNAC R Bull CBBC Feb 2021 A            | 60,000,000   | 2020/06/23 | 2021/02/25 | 15.00          |
| 52314    | Haitong Int'l Sec - Tencent R Bull CBBC Dec 2020 I          | 60,000,000   | 2020/06/23 | 2020/12/29 | 15.00          |
| 52290    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 X          | 60,000,000   | 2020/06/23 | 2020/11/27 | 17.04          |
| 52301    | Haitong Int'l Sec - Tencent R Bear CBBC Nov 2020 Y          | 60,000,000   | 2020/06/23 | 2020/11/27 | 15.00          |

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|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 57420    | J P Morgan SP BV - Alibaba Group R Bear CBBC Jan 2021 C    | 80,000,000   | 2020/06/23 | 2021/01/08 | 23.20          |
| 52244    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 W              | 200,000,000  | 2020/06/23 | 2023/02/27 | 50.00          |
| 52245    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 M              | 200,000,000  | 2020/06/23 | 2023/03/30 | 50.00          |
| 52255    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 M              | 200,000,000  | 2020/06/23 | 2023/04/27 | 50.00          |
| 52269    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 S              | 200,000,000  | 2020/06/23 | 2023/09/28 | 50.00          |
| 52237    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 R              | 200,000,000  | 2020/06/23 | 2020/11/27 | 50.00          |
| 52243    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 E              | 200,000,000  | 2020/06/23 | 2020/12/30 | 50.00          |
| 52239    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 O              | 200,000,000  | 2020/06/23 | 2020/12/30 | 50.00          |
| 52240    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 Q              | 200,000,000  | 2020/06/23 | 2020/12/30 | 50.00          |
| 52241    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 R              | 200,000,000  | 2020/06/23 | 2020/12/30 | 50.00          |
| 52242    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 T              | 200,000,000  | 2020/06/23 | 2020/12/30 | 50.00          |
| 57412    | J P Morgan SP BV - Meituan Dianping R Bull CBBC Feb 2021 B | 80,000,000   | 2020/06/23 | 2021/02/11 | 20.00          |
| 57413    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Jan 2021 F | 200,000,000  | 2020/06/23 | 2021/01/15 | 50.00          |
| 51960    | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 K  | 150,000,000  | 2020/06/23 | 2023/04/27 | 37.50          |
| 51961    | Morgan Stanley Asia Products - HSI R Bull CBBC Apr 2023 L  | 150,000,000  | 2020/06/23 | 2023/04/27 | 37.50          |
| 59888    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 L  | 150,000,000  | 2020/06/23 | 2020/09/29 | 37.50          |
| 59903    | Morgan Stanley Asia Products - HSI R Bear CBBC Sep 2020 M  | 150,000,000  | 2020/06/23 | 2020/09/29 | 37.50          |
| 59886    | Morgan Stanley Asia Products - HSI R Bear CBBC Nov 2020 N  | 150,000,000  | 2020/06/23 | 2020/11/27 | 37.50          |
| 52430    | SG Issuer - AAC Tech R Bull CBBC Jan 2021 D                | 100,000,000  | 2020/06/23 | 2021/01/29 | 25.00          |
| 52353    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 K           | 60,000,000   | 2020/06/23 | 2020/12/30 | 15.00          |
| 52424    | SG Issuer - HSCEI R Bull CBBC Dec 2021 D                   | 100,000,000  | 2020/06/23 | 2021/12/30 | 25.00          |
| 52429    | SG Issuer - HSCEI R Bull CBBC Dec 2022 C                   | 100,000,000  | 2020/06/23 | 2022/12/29 | 25.00          |
| 52420    | SG Issuer - HSCEI R Bear CBBC Jan 2021 A                   | 100,000,000  | 2020/06/23 | 2021/01/28 | 25.00          |
| 52421    | SG Issuer - HSCEI R Bear CBBC Feb 2021 A                   | 100,000,000  | 2020/06/23 | 2021/02/25 | 25.00          |
| 52449    | SG Issuer - HSI R Bull CBBC Aug 2023 D                     | 250,000,000  | 2020/06/23 | 2023/08/30 | 62.50          |
| 52470    | SG Issuer - HSI R Bull CBBC Aug 2023 E                     | 250,000,000  | 2020/06/23 | 2023/08/30 | 62.50          |
| 52458    | SG Issuer - HSI R Bull CBBC Sep 2023 L                     | 250,000,000  | 2020/06/23 | 2023/09/28 | 62.50          |
| 52471    | SG Issuer - HSI R Bull CBBC Sep 2023 M                     | 250,000,000  | 2020/06/23 | 2023/09/28 | 62.50          |
| 52476    | SG Issuer - HSI R Bull CBBC Sep 2023 N                     | 250,000,000  | 2020/06/23 | 2023/09/28 | 62.50          |
| 52370    | SG Issuer - HSI R Bear CBBC Oct 2020 H                     | 250,000,000  | 2020/06/23 | 2020/10/29 | 62.50          |
| 52395    | SG Issuer - HSI R Bear CBBC Nov 2020 F                     | 250,000,000  | 2020/06/23 | 2020/11/27 | 62.50          |
| 52398    | SG Issuer - HSI R Bear CBBC Nov 2020 H                     | 250,000,000  | 2020/06/23 | 2020/11/27 | 62.50          |
| 52399    | SG Issuer - HSI R Bear CBBC Nov 2020 K                     | 250,000,000  | 2020/06/23 | 2020/11/27 | 62.50          |
| 52400    | SG Issuer - HSI R Bear CBBC Nov 2020 O                     | 250,000,000  | 2020/06/23 | 2020/11/27 | 62.50          |
| 52460    | SG Issuer - HSI R Bear CBBC Dec 2020 G                     | 250,000,000  | 2020/06/23 | 2020/12/30 | 62.50          |
| 52461    | SG Issuer - HSI R Bear CBBC Dec 2020 J                     | 250,000,000  | 2020/06/23 | 2020/12/30 | 62.50          |
| 52407    | SG Issuer - HSI R Bear CBBC Dec 2020 P                     | 500,000,000  | 2020/06/23 | 2020/12/30 | 125.00         |
| 52419    | SG Issuer - HSI R Bear CBBC Dec 2020 U                     | 250,000,000  | 2020/06/23 | 2020/12/30 | 62.50          |
| 52491    | SG Issuer - Meituan Dianping R Bull CBBC Feb 2021 F        | 100,000,000  | 2020/06/23 | 2021/02/26 | 25.00          |
| 52355    | SG Issuer - Meituan Dianping R Bear CBBC Jan 2021 R        | 100,000,000  | 2020/06/23 | 2021/01/28 | 25.00          |
| 52357    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 K        | 100,000,000  | 2020/06/23 | 2021/02/25 | 25.00          |
| 52490    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 L        | 100,000,000  | 2020/06/23 | 2021/02/25 | 37.00          |
| 52358    | SG Issuer - Meituan Dianping R Bear CBBC Mar 2021 C        | 100,000,000  | 2020/06/23 | 2021/03/31 | 25.00          |
| 52492    | SG Issuer - Meituan Dianping R Bear CBBC Mar 2021 D        | 300,000,000  | 2020/06/23 | 2021/03/31 | 75.00          |
| 52654    | SG Issuer - SMIC R Bull CBBC Dec 2020 A                    | 120,000,000  | 2020/06/23 | 2020/12/31 | 30.00          |

## 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 52431    | SG Issuer - SMIC R Bull CBBC Mar 2021 B                 | 120,000,000  | 2020/06/23 | 2021/03/30 | 30.00          |
| 52366    | SG Issuer - SMIC R Bear CBBC Feb 2021 B                 | 120,000,000  | 2020/06/23 | 2021/02/25 | 30.00          |
| 53444    | SG Issuer - SMIC R Bear CBBC Mar 2021 A                 | 120,000,000  | 2020/06/23 | 2021/03/31 | 30.00          |
| 52432    | SG Issuer - Tencent R Bull CBBC Nov 2020 S              | 80,000,000   | 2020/06/23 | 2020/11/30 | 20.00          |
| 52493    | SG Issuer - Tencent R Bull CBBC Nov 2020 T              | 80,000,000   | 2020/06/23 | 2020/11/30 | 20.00          |
| 52367    | SG Issuer - Tencent R Bear CBBC Jan 2021 B              | 80,000,000   | 2020/06/23 | 2021/01/29 | 20.00          |
| 52368    | SG Issuer - Tencent R Bear CBBC Feb 2021 F              | 80,000,000   | 2020/06/23 | 2021/02/25 | 20.00          |
| 52369    | SG Issuer - Tencent R Bear CBBC Mar 2021 G              | 80,000,000   | 2020/06/23 | 2021/03/31 | 20.00          |
| 52494    | SG Issuer - Tencent R Bear CBBC Mar 2021 H              | 80,000,000   | 2020/06/23 | 2021/03/30 | 41.60          |
| 52448    | SG Issuer - Xiaomi R Bull CBBC Nov 2020 I               | 60,000,000   | 2020/06/23 | 2020/11/30 | 15.00          |
| 52168    | UBS AG - AAC Tech R Bull CBBC May 2021 A                | 100,000,000  | 2020/06/23 | 2021/05/31 | 25.00          |
| 52186    | UBS AG - Alibaba Group R Bull CBBC Feb 2021 O           | 80,000,000   | 2020/06/23 | 2021/02/08 | 20.00          |
| 52151    | UBS AG - Alibaba Group R Bear CBBC Jun 2021 A           | 200,000,000  | 2020/06/23 | 2021/06/30 | 50.00          |
| 52156    | UBS AG - China Life R Bull CBBC Jul 2021 A              | 100,000,000  | 2020/06/23 | 2021/07/30 | 25.00          |
| 52163    | UBS AG - China Life R Bear CBBC May 2021 A              | 100,000,000  | 2020/06/23 | 2021/05/31 | 25.00          |
| 52152    | UBS AG - HKEX R Bear CBBC Jan 2021 H                    | 50,000,000   | 2020/06/23 | 2021/01/11 | 12.50          |
| 52155    | UBS AG - HKEX R Bear CBBC Apr 2021 B                    | 200,000,000  | 2020/06/23 | 2021/04/13 | 50.00          |
| 52173    | UBS AG - HSI R Bull CBBC Dec 2022 C                     | 200,000,000  | 2020/06/23 | 2022/12/29 | 50.00          |
| 52175    | UBS AG - HSI R Bull CBBC Dec 2022 I                     | 200,000,000  | 2020/06/23 | 2022/12/29 | 50.00          |
| 52108    | UBS AG - HSI R Bear CBBC Jan 2021 A                     | 200,000,000  | 2020/06/23 | 2021/01/28 | 50.00          |
| 52113    | UBS AG - HSI R Bear CBBC Jan 2021 B                     | 200,000,000  | 2020/06/23 | 2021/01/28 | 50.00          |
| 52123    | UBS AG - HSI R Bear CBBC Jan 2021 C                     | 200,000,000  | 2020/06/23 | 2021/01/28 | 50.00          |
| 52103    | UBS AG - HSI R Bear CBBC Jan 2021 L                     | 200,000,000  | 2020/06/23 | 2021/01/28 | 50.00          |
| 52127    | UBS AG - HSI R Bear CBBC Jan 2021 M                     | 200,000,000  | 2020/06/23 | 2021/01/28 | 50.00          |
| 52104    | UBS AG - HSI R Bear CBBC Jan 2021 P                     | 200,000,000  | 2020/06/23 | 2021/01/28 | 50.00          |
| 52200    | UBS AG - HSI R Bear CBBC Jan 2021 Q                     | 200,000,000  | 2020/06/23 | 2021/01/28 | 50.00          |
| 52201    | UBS AG - HSI R Bear CBBC Jan 2021 R                     | 200,000,000  | 2020/06/23 | 2021/01/28 | 50.00          |
| 52199    | UBS AG - Meituan Dianping R Bull CBBC Mar 2021 G        | 50,000,000   | 2020/06/23 | 2021/03/02 | 12.50          |
| 52171    | UBS AG - Meituan Dianping R Bear CBBC Jan 2021 J        | 50,000,000   | 2020/06/23 | 2021/01/20 | 12.50          |
| 52147    | UBS AG - Meituan Dianping R Bear CBBC Jun 2021 C        | 200,000,000  | 2020/06/23 | 2021/06/30 | 50.00          |
| 52188    | UBS AG - SMIC R Bull CBBC Mar 2021 B                    | 100,000,000  | 2020/06/23 | 2021/03/02 | 25.00          |
| 52196    | UBS AG - SMIC R Bull CBBC Apr 2021 D                    | 100,000,000  | 2020/06/23 | 2021/04/13 | 25.00          |
| 52167    | UBS AG - Sunny Optical R Bull CBBC Jan 2021 A           | 30,000,000   | 2020/06/23 | 2021/01/28 | 10.20          |
| 52184    | UBS AG - Tencent R Bull CBBC Apr 2021 F                 | 40,000,000   | 2020/06/23 | 2021/04/26 | 10.00          |
| 52128    | UBS AG - Tencent R Bear CBBC Dec 2020 T                 | 40,000,000   | 2020/06/23 | 2020/12/21 | 10.00          |
| 52145    | UBS AG - Tencent R Bear CBBC Feb 2021 H                 | 40,000,000   | 2020/06/23 | 2021/02/23 | 10.00          |
| 52146    | UBS AG - Tencent R Bear CBBC Feb 2021 I                 | 40,000,000   | 2020/06/23 | 2021/02/24 | 10.40          |
| 54039    | Bank Vontobel - AAC Tech R Bull CBBC Mar 2021 D         | 40,000,000   | 2020/06/23 | 2021/03/05 | 10.00          |
| 53722    | Bank Vontobel - CNOOC R Bull CBBC Mar 2021 B            | 40,000,000   | 2020/06/23 | 2021/03/19 | 10.00          |
| 54384    | Bank Vontobel - Geely Auto R Bull CBBC Feb 2021 C       | 40,000,000   | 2020/06/23 | 2021/02/05 | 10.00          |
| 53560    | Bank Vontobel - HKEX R Bull CBBC Mar 2021 A             | 40,000,000   | 2020/06/23 | 2021/03/05 | 10.00          |
| 53823    | Bank Vontobel - HSI N Bull CBBC Mar 2023 A              | 40,000,000   | 2020/06/23 | 2023/03/30 | 10.00          |
| 54136    | Bank Vontobel - HSI R Bull CBBC Mar 2023 B              | 80,000,000   | 2020/06/23 | 2023/03/30 | 20.00          |
| 54498    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 M | 60,000,000   | 2020/06/23 | 2021/02/05 | 15.00          |
| 53709    | Bank Vontobel - Sunny Optical R Bull CBBC Mar 2021 A    | 40,000,000   | 2020/06/23 | 2021/03/05 | 10.00          |

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|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 60087    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 P                | 150,000,000  | 2020/06/24 | 2023/01/30 | 37.50          |
| 60111    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 Q                | 150,000,000  | 2020/06/24 | 2023/01/30 | 37.50          |
| 60112    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 R                | 150,000,000  | 2020/06/24 | 2023/01/30 | 37.50          |
| 60173    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 I                | 150,000,000  | 2020/06/24 | 2020/10/29 | 37.50          |
| 60120    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 U                | 150,000,000  | 2020/06/24 | 2020/10/29 | 37.50          |
| 60149    | BOCI Asia Ltd. - Meituan Dianping R Bull CBBC Dec 2020 Y   | 40,000,000   | 2020/06/24 | 2020/12/30 | 10.00          |
| 60171    | BOCI Asia Ltd. - Meituan Dianping R Bear CBBC Dec 2020 V   | 40,000,000   | 2020/06/24 | 2020/12/30 | 14.80          |
| 60132    | BOCI Asia Ltd. - SMIC R Bull CBBC Jan 2021 C               | 150,000,000  | 2020/06/24 | 2021/01/29 | 37.50          |
| 60909    | BNP Paribas Issuance B.V. - Alibaba R Bull CBBC Dec 2020 Q | 100,000,000  | 2020/06/24 | 2020/12/30 | 25.00          |
| 60913    | BNP Paribas Issuance B.V. - Alibaba R Bear CBBC Apr 2021 E | 100,000,000  | 2020/06/24 | 2021/04/29 | 25.00          |
| 60906    | BNP Paribas Issuance B.V. - HKEX R Bear CBBC Jul 2021 A    | 50,000,000   | 2020/06/24 | 2021/07/29 | 12.50          |
| 61006    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 X     | 200,000,000  | 2020/06/24 | 2022/11/29 | 50.00          |
| 61008    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 Y     | 190,000,000  | 2020/06/24 | 2022/11/29 | 47.50          |
| 61031    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 L     | 240,000,000  | 2020/06/24 | 2020/12/30 | 60.00          |
| 60923    | BNP Paribas Issuance B.V. - Meituan R Bull CBBC Dec 2020 K | 50,000,000   | 2020/06/24 | 2020/12/30 | 12.50          |
| 60924    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2020 X | 50,000,000   | 2020/06/24 | 2020/11/27 | 12.50          |
| 60928    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2021 A | 50,000,000   | 2020/06/24 | 2021/11/29 | 25.00          |
| 60959    | BNP Paribas Issuance B.V. - Meituan R Bear CBBC Nov 2021 B | 50,000,000   | 2020/06/24 | 2021/11/29 | 30.00          |
| 60880    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2020 R | 50,000,000   | 2020/06/24 | 2020/11/27 | 20.00          |
| 60866    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 B | 50,000,000   | 2020/06/24 | 2020/12/30 | 15.00          |
| 60891    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2020 G | 50,000,000   | 2020/06/24 | 2020/12/30 | 25.00          |
| 60904    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2021 A | 50,000,000   | 2020/06/24 | 2021/11/29 | 37.50          |
| 60892    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2021 A | 50,000,000   | 2020/06/24 | 2021/12/30 | 32.50          |
| 61121    | Credit Suisse AG - Alibaba Group R Bull CBBC Nov 2020 J    | 50,000,000   | 2020/06/24 | 2020/11/27 | 12.50          |
| 61191    | Credit Suisse AG - HSI R Bull CBBC Jan 2023 W              | 200,000,000  | 2020/06/24 | 2023/01/30 | 50.00          |
| 61133    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 P              | 200,000,000  | 2020/06/24 | 2023/02/27 | 50.00          |
| 61175    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 Q              | 200,000,000  | 2020/06/24 | 2023/02/27 | 50.00          |
| 61044    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 D              | 200,000,000  | 2020/06/24 | 2020/10/29 | 50.00          |
| 61048    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 E              | 200,000,000  | 2020/06/24 | 2020/10/29 | 50.00          |
| 61049    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 E              | 200,000,000  | 2020/06/24 | 2020/11/27 | 50.00          |
| 61122    | Credit Suisse AG - Link REIT R Bull CBBC Dec 2020 J        | 50,000,000   | 2020/06/24 | 2020/12/30 | 12.50          |
| 61118    | Credit Suisse AG - Sands China R Bear CBBC Mar 2021 A      | 60,000,000   | 2020/06/24 | 2021/03/30 | 15.00          |
| 61080    | Credit Suisse AG - SMIC R Bull CBBC Dec 2020 C             | 100,000,000  | 2020/06/24 | 2020/12/30 | 25.00          |
| 61074    | Credit Suisse AG - SMIC R Bull CBBC Mar 2021 E             | 100,000,000  | 2020/06/24 | 2021/03/30 | 25.00          |
| 61112    | Credit Suisse AG - SMIC R Bear CBBC Jan 2021 C             | 50,000,000   | 2020/06/24 | 2021/01/28 | 12.50          |
| 61061    | Credit Suisse AG - Tencent R Bull CBBC Nov 2020 S          | 50,000,000   | 2020/06/24 | 2020/11/27 | 12.50          |
| 61416    | Goldman Sachs SP (Asia) - Alibaba R Bull CBBC Oct 2020 Q   | 60,000,000   | 2020/06/24 | 2020/10/30 | 15.00          |
| 61208    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 C       | 160,000,000  | 2020/06/24 | 2023/10/30 | 40.00          |
| 61259    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 D       | 160,000,000  | 2020/06/24 | 2023/10/30 | 40.00          |
| 61293    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 E       | 160,000,000  | 2020/06/24 | 2023/10/30 | 40.00          |
| 61305    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 F       | 160,000,000  | 2020/06/24 | 2023/10/30 | 40.00          |
| 61318    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 G       | 160,000,000  | 2020/06/24 | 2023/10/30 | 40.00          |
| 61326    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 H       | 160,000,000  | 2020/06/24 | 2023/10/30 | 40.00          |
| 61330    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 I       | 160,000,000  | 2020/06/24 | 2023/10/30 | 40.00          |
| 61272    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 D       | 160,000,000  | 2020/06/24 | 2021/01/28 | 40.00          |



# 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) |
|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 61289    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 M        | 160,000,000  | 2020/06/24 | 2021/01/28 | 40.00          |
| 61290    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 S        | 160,000,000  | 2020/06/24 | 2021/01/28 | 40.00          |
| 61220    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 V        | 160,000,000  | 2020/06/24 | 2021/01/28 | 40.00          |
| 61207    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 N        | 160,000,000  | 2020/06/24 | 2021/02/25 | 40.00          |
| 61406    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 O    | 60,000,000   | 2020/06/24 | 2020/10/30 | 15.00          |
| 61335    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Oct 2020 B    | 60,000,000   | 2020/06/24 | 2020/10/30 | 15.00          |
| 61362    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Oct 2020 N    | 60,000,000   | 2020/06/24 | 2020/10/30 | 15.00          |
| 61405    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Nov 2020 G    | 60,000,000   | 2020/06/24 | 2020/11/30 | 15.00          |
| 60058    | HK Bank - Alibaba Group R Bull CBBC Nov 2020 O              | 40,000,000   | 2020/06/24 | 2020/11/26 | 10.00          |
| 60083    | HK Bank - Alibaba Group R Bear CBBC Nov 2020 F              | 100,000,000  | 2020/06/24 | 2020/11/26 | 25.00          |
| 60022    | HK Bank - HSI R Bull CBBC Dec 2022 D                        | 100,000,000  | 2020/06/24 | 2022/12/29 | 25.00          |
| 60060    | HK Bank - HSI R Bull CBBC Mar 2023 D                        | 80,000,000   | 2020/06/24 | 2023/03/30 | 20.00          |
| 60080    | HK Bank - HSI R Bear CBBC Oct 2020 A                        | 60,000,000   | 2020/06/24 | 2020/10/29 | 15.00          |
| 60016    | HK Bank - Meituan Dianping R Bull CBBC Dec 2020 B           | 40,000,000   | 2020/06/24 | 2020/12/14 | 10.00          |
| 60042    | HK Bank - SMIC R Bull CBBC Nov 2020 F                       | 40,000,000   | 2020/06/24 | 2020/11/16 | 10.00          |
| 60040    | HK Bank - SMIC R Bull CBBC Dec 2020 B                       | 100,000,000  | 2020/06/24 | 2020/12/14 | 25.00          |
| 60050    | HK Bank - Tencent R Bear CBBC Dec 2020 A                    | 100,000,000  | 2020/06/24 | 2020/12/07 | 25.00          |
| 60728    | Haitong Int'l Sec - HSI R Bull CBBC Sep 2023 D              | 300,000,000  | 2020/06/24 | 2023/09/28 | 75.00          |
| 60742    | Haitong Int'l Sec - HSI R Bull CBBC Sep 2023 E              | 200,000,000  | 2020/06/24 | 2023/09/28 | 50.00          |
| 60746    | Haitong Int'l Sec - HSI R Bull CBBC Sep 2023 F              | 150,000,000  | 2020/06/24 | 2023/09/28 | 37.50          |
| 60721    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 C              | 150,000,000  | 2020/06/24 | 2021/01/28 | 37.50          |
| 60726    | Haitong Int'l Sec - HSI R Bear CBBC Jan 2021 D              | 150,000,000  | 2020/06/24 | 2021/01/28 | 37.50          |
| 60814    | Haitong Int'l Sec - Meituan Dianping R Bull CBBC Mar 2021 B | 80,000,000   | 2020/06/24 | 2021/03/25 | 20.00          |
| 60831    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Dec 2020 G | 80,000,000   | 2020/06/24 | 2020/12/29 | 34.40          |
| 60786    | Haitong Int'l Sec - Tencent R Bull CBBC Feb 2021 B          | 60,000,000   | 2020/06/24 | 2021/02/25 | 15.00          |
| 60855    | Haitong Int'l Sec - Xiaomi R Bear CBBC Jan 2021 A           | 80,000,000   | 2020/06/24 | 2021/01/28 | 20.00          |
| 60772    | Haitong Int'l Sec - ZTE R Bull CBBC Feb 2021 A              | 80,000,000   | 2020/06/24 | 2021/02/25 | 20.00          |
| 60423    | J P Morgan SP BV - Alibaba Group R Bull CBBC Jan 2021 B     | 80,000,000   | 2020/06/24 | 2021/01/15 | 20.00          |
| 60426    | J P Morgan SP BV - Alibaba Group R Bear CBBC Jan 2021 D     | 80,000,000   | 2020/06/24 | 2021/01/15 | 24.00          |
| 60328    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 A               | 200,000,000  | 2020/06/24 | 2023/02/27 | 50.00          |
| 60333    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 G               | 200,000,000  | 2020/06/24 | 2023/02/27 | 50.00          |
| 60335    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 S               | 200,000,000  | 2020/06/24 | 2023/02/27 | 50.00          |
| 60334    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 P               | 200,000,000  | 2020/06/24 | 2023/03/30 | 50.00          |
| 60385    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 N               | 200,000,000  | 2020/06/24 | 2023/09/28 | 50.00          |
| 60338    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 F               | 200,000,000  | 2020/06/24 | 2020/12/30 | 50.00          |
| 60364    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 L               | 200,000,000  | 2020/06/24 | 2020/12/30 | 50.00          |
| 60341    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 C               | 200,000,000  | 2020/06/24 | 2021/01/28 | 50.00          |
| 60355    | J P Morgan SP BV - HSI R Bear CBBC Jan 2021 K               | 200,000,000  | 2020/06/24 | 2021/01/28 | 50.00          |
| 60401    | J P Morgan SP BV - Meituan Dianping R Bear CBBC Jan 2021 G  | 80,000,000   | 2020/06/24 | 2021/01/15 | 24.00          |
| 60403    | J P Morgan SP BV - Tencent R Bull CBBC Jan 2021 D           | 80,000,000   | 2020/06/24 | 2021/01/15 | 20.00          |
| 60409    | J P Morgan SP BV - Tencent R Bear CBBC Jan 2021 D           | 200,000,000  | 2020/06/24 | 2021/01/15 | 50.00          |
| 60602    | SG Issuer - Alibaba Group R Bull CBBC Feb 2021 G            | 60,000,000   | 2020/06/24 | 2021/02/26 | 15.00          |
| 60513    | SG Issuer - Alibaba Group R Bear CBBC Feb 2021 H            | 60,000,000   | 2020/06/24 | 2021/02/25 | 15.00          |
| 60606    | SG Issuer - Alibaba Group R Bear CBBC Feb 2021 I            | 60,000,000   | 2020/06/24 | 2021/02/26 | 15.00          |
| 60581    | SG Issuer - Geely Auto R Bull CBBC Dec 2020 G               | 40,000,000   | 2020/06/24 | 2020/12/31 | 10.00          |

# 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) |
|----------|---------------------------------------------------------|--------------|------------|------------|----------------|
| 60524    | SG Issuer - Galaxy Ent R Bull CBBC Jan 2021 A           | 100,000,000  | 2020/06/24 | 2021/01/29 | 25.00          |
| 60643    | SG Issuer - HSI R Bull CBBC Aug 2023 F                  | 250,000,000  | 2020/06/24 | 2023/08/30 | 62.50          |
| 60681    | SG Issuer - HSI R Bull CBBC Aug 2023 G                  | 250,000,000  | 2020/06/24 | 2023/08/30 | 62.50          |
| 60683    | SG Issuer - HSI R Bull CBBC Aug 2023 H                  | 250,000,000  | 2020/06/24 | 2023/08/30 | 62.50          |
| 60700    | SG Issuer - HSI R Bull CBBC Aug 2023 I                  | 250,000,000  | 2020/06/24 | 2023/08/30 | 62.50          |
| 60716    | SG Issuer - HSI R Bull CBBC Oct 2023 S                  | 250,000,000  | 2020/06/24 | 2023/10/30 | 62.50          |
| 60620    | SG Issuer - HSI R Bear CBBC Nov 2020 P                  | 250,000,000  | 2020/06/24 | 2020/11/27 | 62.50          |
| 60624    | SG Issuer - HSI R Bear CBBC Dec 2020 K                  | 250,000,000  | 2020/06/24 | 2020/12/30 | 62.50          |
| 60638    | SG Issuer - HSI R Bear CBBC Dec 2020 M                  | 250,000,000  | 2020/06/24 | 2020/12/30 | 62.50          |
| 60592    | SG Issuer - HSI R Bear CBBC Jan 2021 L                  | 250,000,000  | 2020/06/24 | 2021/01/28 | 62.50          |
| 60622    | SG Issuer - HSI R Bear CBBC Jan 2021 V                  | 250,000,000  | 2020/06/24 | 2021/01/28 | 62.50          |
| 60718    | SG Issuer - Meituan Dianping R Bull CBBC Feb 2021 G     | 100,000,000  | 2020/06/24 | 2021/02/25 | 25.00          |
| 60539    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 M     | 100,000,000  | 2020/06/24 | 2021/02/25 | 25.00          |
| 60612    | SG Issuer - SMIC R Bull CBBC Feb 2021 J                 | 120,000,000  | 2020/06/24 | 2021/02/26 | 30.00          |
| 60564    | SG Issuer - SMIC R Bear CBBC Jan 2021 A                 | 120,000,000  | 2020/06/24 | 2021/01/28 | 30.00          |
| 60613    | SG Issuer - Sunny Optical R Bull CBBC Jan 2021 C        | 60,000,000   | 2020/06/24 | 2021/01/29 | 15.00          |
| 60568    | SG Issuer - Tencent R Bull CBBC Dec 2020 V              | 80,000,000   | 2020/06/24 | 2020/12/30 | 20.00          |
| 60588    | SG Issuer - Tencent R Bull CBBC Jan 2021 P              | 80,000,000   | 2020/06/24 | 2021/01/29 | 20.00          |
| 60614    | SG Issuer - Tencent R Bear CBBC Feb 2021 E              | 80,000,000   | 2020/06/24 | 2021/02/25 | 20.00          |
| 60572    | SG Issuer - ZTE R Bull CBBC Jan 2021 B                  | 60,000,000   | 2020/06/24 | 2021/01/29 | 15.00          |
| 60294    | UBS AG - Alibaba Group R Bull CBBC Apr 2021 C           | 80,000,000   | 2020/06/24 | 2021/04/12 | 20.00          |
| 60175    | UBS AG - Alibaba Group R Bear CBBC Jan 2021 I           | 80,000,000   | 2020/06/24 | 2021/01/22 | 20.00          |
| 60304    | UBS AG - HSI R Bull CBBC Jan 2023 A                     | 200,000,000  | 2020/06/24 | 2023/01/30 | 50.00          |
| 60313    | UBS AG - HSI R Bull CBBC Jan 2023 H                     | 200,000,000  | 2020/06/24 | 2023/01/30 | 50.00          |
| 60302    | UBS AG - HSI R Bull CBBC Jan 2023 X                     | 200,000,000  | 2020/06/24 | 2023/01/30 | 50.00          |
| 60223    | UBS AG - HSI R Bear CBBC Jan 2021 D                     | 200,000,000  | 2020/06/24 | 2021/01/28 | 50.00          |
| 60224    | UBS AG - HSI R Bear CBBC Jan 2021 E                     | 200,000,000  | 2020/06/24 | 2021/01/28 | 50.00          |
| 60233    | UBS AG - HSI R Bear CBBC Jan 2021 F                     | 200,000,000  | 2020/06/24 | 2021/01/28 | 50.00          |
| 60277    | UBS AG - HSI R Bear CBBC Jan 2021 H                     | 200,000,000  | 2020/06/24 | 2021/01/28 | 50.00          |
| 60179    | UBS AG - HSI R Bear CBBC Jan 2021 Z                     | 200,000,000  | 2020/06/24 | 2021/01/28 | 50.00          |
| 60174    | UBS AG - Meituan Dianping R Bear CBBC Dec 2020 K        | 50,000,000   | 2020/06/24 | 2020/12/31 | 12.50          |
| 60291    | UBS AG - Tencent R Bull CBBC Apr 2021 G                 | 40,000,000   | 2020/06/24 | 2021/04/12 | 10.00          |
| 60454    | Bank Vontobel - CM Bank R Bull CBBC Sep 2021 A          | 40,000,000   | 2020/06/24 | 2021/09/03 | 10.00          |
| 60453    | Bank Vontobel - CM Bank R Bull CBBC Oct 2021 A          | 40,000,000   | 2020/06/24 | 2021/10/08 | 10.00          |
| 60455    | Bank Vontobel - CM Bank R Bear CBBC May 2021 A          | 40,000,000   | 2020/06/24 | 2021/05/07 | 10.00          |
| 60485    | Bank Vontobel - HKEX R Bear CBBC Jan 2021 C             | 40,000,000   | 2020/06/24 | 2021/01/08 | 10.00          |
| 60447    | Bank Vontobel - HKEX R Bear CBBC Mar 2021 B             | 80,000,000   | 2020/06/24 | 2021/03/05 | 20.00          |
| 60448    | Bank Vontobel - HSI R Bull CBBC Mar 2023 C              | 80,000,000   | 2020/06/24 | 2023/03/30 | 20.00          |
| 60456    | Bank Vontobel - HSI R Bull CBBC Mar 2023 D              | 80,000,000   | 2020/06/24 | 2023/03/30 | 20.00          |
| 60431    | Bank Vontobel - Meituan Dianping R Bull CBBC Mar 2021 I | 60,000,000   | 2020/06/24 | 2021/03/05 | 15.00          |
| 60434    | Bank Vontobel - Meituan Dianping R Bear CBBC Feb 2021 E | 50,000,000   | 2020/06/24 | 2021/02/19 | 18.00          |
| 60437    | Bank Vontobel - Meituan Dianping R Bear CBBC Mar 2021 A | 200,000,000  | 2020/06/24 | 2021/03/05 | 50.00          |
| 60511    | Bank Vontobel - Tencent R Bull CBBC Feb 2021 J          | 40,000,000   | 2020/06/24 | 2021/02/19 | 10.00          |
| 60508    | Bank Vontobel - Tencent R Bear CBBC Feb 2021 E          | 30,000,000   | 2020/06/24 | 2021/02/19 | 15.45          |
| 61488    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 S             | 150,000,000  | 2020/06/26 | 2023/01/30 | 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 61516    | BOCI Asia Ltd. - HSI R Bull CBBC Jan 2023 T              | 150,000,000  | 2020/06/26 | 2023/01/30 | 37.50          |
| 61524    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 P              | 150,000,000  | 2020/06/26 | 2020/10/29 | 37.50          |
| 61527    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 T              | 150,000,000  | 2020/06/26 | 2020/10/29 | 37.50          |
| 61531    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 T          | 40,000,000   | 2020/06/26 | 2020/12/30 | 10.00          |
| 61532    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 S          | 40,000,000   | 2020/06/26 | 2020/12/30 | 10.00          |
| 61538    | BOCI Asia Ltd. - ZTE R Bull CBBC Dec 2020 C              | 80,000,000   | 2020/06/26 | 2020/12/31 | 20.00          |
| 61541    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Oct 2022 L   | 190,000,000  | 2020/06/26 | 2022/10/28 | 47.50          |
| 61549    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Sep 2020 I   | 240,000,000  | 2020/06/26 | 2020/09/29 | 60.00          |
| 62181    | Credit Suisse AG - Alibaba Group R Bull CBBC Dec 2020 E  | 50,000,000   | 2020/06/26 | 2020/12/30 | 12.50          |
| 62188    | Credit Suisse AG - Geely Auto R Bull CBBC Nov 2020 B     | 40,000,000   | 2020/06/26 | 2020/11/27 | 10.00          |
| 62173    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 V            | 200,000,000  | 2020/06/26 | 2023/03/30 | 50.00          |
| 62174    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 W            | 200,000,000  | 2020/06/26 | 2023/03/30 | 50.00          |
| 62182    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 U            | 200,000,000  | 2020/06/26 | 2020/12/30 | 50.00          |
| 62229    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 T            | 300,000,000  | 2020/06/26 | 2021/01/28 | 75.00          |
| 62206    | Credit Suisse AG - SMIC R Bull CBBC Dec 2020 D           | 100,000,000  | 2020/06/26 | 2020/12/30 | 25.00          |
| 62197    | Credit Suisse AG - Tencent R Bull CBBC Nov 2020 T        | 50,000,000   | 2020/06/26 | 2020/11/27 | 12.50          |
| 62215    | Credit Suisse AG - ZTE R Bull CBBC Dec 2020 D            | 50,000,000   | 2020/06/26 | 2020/12/30 | 12.50          |
| 62218    | Credit Suisse AG - ZTE R Bull CBBC Dec 2020 E            | 50,000,000   | 2020/06/26 | 2020/12/18 | 12.50          |
| 62373    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 J     | 160,000,000  | 2020/06/26 | 2023/10/30 | 40.00          |
| 62379    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 K     | 160,000,000  | 2020/06/26 | 2023/10/30 | 40.00          |
| 62429    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 L     | 160,000,000  | 2020/06/26 | 2023/10/30 | 40.00          |
| 62461    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 M     | 160,000,000  | 2020/06/26 | 2023/10/30 | 40.00          |
| 62481    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 N     | 160,000,000  | 2020/06/26 | 2023/10/30 | 40.00          |
| 62386    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 B     | 160,000,000  | 2020/06/26 | 2021/01/28 | 40.00          |
| 62417    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 N     | 160,000,000  | 2020/06/26 | 2021/01/28 | 40.00          |
| 62381    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 Y     | 160,000,000  | 2020/06/26 | 2021/01/28 | 40.00          |
| 62553    | Goldman Sachs SP (Asia) - Meituan R Bull CBBC Oct 2020 P | 60,000,000   | 2020/06/26 | 2020/10/30 | 15.00          |
| 62482    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Oct 2020 C | 60,000,000   | 2020/06/26 | 2020/10/30 | 15.00          |
| 62524    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Nov 2020 H | 60,000,000   | 2020/06/26 | 2020/11/30 | 15.00          |
| 62547    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Jun 2021 B | 80,000,000   | 2020/06/26 | 2021/06/30 | 20.00          |
| 61430    | HK Bank - HSI R Bull CBBC Mar 2023 E                     | 100,000,000  | 2020/06/26 | 2023/03/30 | 25.00          |
| 61459    | HK Bank - HSI R Bear CBBC Oct 2020 B                     | 100,000,000  | 2020/06/26 | 2020/10/29 | 25.00          |
| 61473    | HK Bank - HSI R Bear CBBC Oct 2020 C                     | 100,000,000  | 2020/06/26 | 2020/10/29 | 25.00          |
| 61481    | HK Bank - SMIC R Bull CBBC Nov 2020 G                    | 40,000,000   | 2020/06/26 | 2020/11/09 | 10.00          |
| 61482    | HK Bank - SMIC R Bull CBBC Dec 2020 C                    | 40,000,000   | 2020/06/26 | 2020/12/21 | 10.00          |
| 61478    | HK Bank - SMIC R Bear CBBC Nov 2020 E                    | 40,000,000   | 2020/06/26 | 2020/11/16 | 10.00          |
| 61434    | HK Bank - Tencent R Bull CBBC Nov 2020 Q                 | 40,000,000   | 2020/06/26 | 2020/11/12 | 10.00          |
| 61419    | HK Bank - Tencent R Bear CBBC Nov 2020 J                 | 40,000,000   | 2020/06/26 | 2020/11/05 | 10.00          |
| 61474    | HK Bank - ZTE R Bull CBBC Dec 2020 D                     | 40,000,000   | 2020/06/26 | 2020/12/21 | 10.00          |
| 62282    | Haitong Int'l Sec - Alibaba Group R Bear CBBC Feb 2021 A | 80,000,000   | 2020/06/26 | 2021/02/25 | 22.80          |
| 62296    | Haitong Int'l Sec - HSCEI R Bull CBBC May 2022 A         | 100,000,000  | 2020/06/26 | 2022/05/30 | 25.00          |
| 62297    | Haitong Int'l Sec - HSCEI R Bull CBBC Dec 2022 A         | 100,000,000  | 2020/06/26 | 2022/12/29 | 25.00          |
| 62310    | Haitong Int'l Sec - HSCEI R Bear CBBC Oct 2020 A         | 100,000,000  | 2020/06/26 | 2020/10/29 | 25.00          |
| 62232    | Haitong Int'l Sec - HSI R Bull CBBC Aug 2023 A           | 200,000,000  | 2020/06/26 | 2023/08/30 | 50.00          |
| 62244    | Haitong Int'l Sec - HSI R Bull CBBC Aug 2023 B           | 150,000,000  | 2020/06/26 | 2023/08/30 | 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) |
|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 62253    | Haitong Int'l Sec - HSI R Bull CBBC Oct 2023 D            | 150,000,000  | 2020/06/26 | 2023/10/30 | 37.50          |
| 62259    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 M            | 150,000,000  | 2020/06/26 | 2020/12/30 | 37.50          |
| 62261    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 O            | 150,000,000  | 2020/06/26 | 2020/12/30 | 37.50          |
| 62288    | Haitong Int'l Sec - Tencent R Bear CBBC Jan 2021 G        | 80,000,000   | 2020/06/26 | 2021/01/28 | 48.40          |
| 62274    | Haitong Int'l Sec - ZTE R Bull CBBC Jan 2021 A            | 80,000,000   | 2020/06/26 | 2021/01/29 | 20.00          |
| 61777    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Y             | 200,000,000  | 2020/06/26 | 2023/02/27 | 50.00          |
| 61696    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 T             | 200,000,000  | 2020/06/26 | 2023/09/28 | 50.00          |
| 61723    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 U             | 200,000,000  | 2020/06/26 | 2023/09/28 | 50.00          |
| 61727    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 S             | 200,000,000  | 2020/06/26 | 2020/12/30 | 50.00          |
| 61728    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 V             | 200,000,000  | 2020/06/26 | 2020/12/30 | 50.00          |
| 61735    | J P Morgan SP BV - HSI R Bear CBBC Dec 2020 X             | 200,000,000  | 2020/06/26 | 2020/12/30 | 50.00          |
| 61792    | J P Morgan SP BV - Tencent R Bull CBBC Jan 2021 E         | 50,000,000   | 2020/06/26 | 2021/01/15 | 12.50          |
| 61487    | Morgan Stanley Asia Products - HSI R Bull CBBC May 2023 D | 150,000,000  | 2020/06/26 | 2023/05/30 | 37.50          |
| 61817    | SG Issuer - Alibaba Group R Bull CBBC Jan 2021 J          | 60,000,000   | 2020/06/26 | 2021/01/29 | 15.00          |
| 61867    | SG Issuer - Alibaba Group R Bear CBBC Dec 2020 Q          | 60,000,000   | 2020/06/26 | 2020/12/30 | 18.90          |
| 61882    | SG Issuer - China Life R Bull CBBC Mar 2021 D             | 150,000,000  | 2020/06/26 | 2021/03/30 | 37.50          |
| 61863    | SG Issuer - HSI R Bull CBBC Aug 2023 J                    | 250,000,000  | 2020/06/26 | 2023/08/30 | 62.50          |
| 62052    | SG Issuer - HSI R Bull CBBC Aug 2023 K                    | 250,000,000  | 2020/06/26 | 2023/08/30 | 62.50          |
| 61864    | SG Issuer - HSI R Bull CBBC Sep 2023 O                    | 250,000,000  | 2020/06/26 | 2023/09/28 | 62.50          |
| 62123    | SG Issuer - HSI R Bull CBBC Sep 2023 P                    | 250,000,000  | 2020/06/26 | 2023/09/28 | 62.50          |
| 62070    | SG Issuer - HSI R Bull CBBC Oct 2023 T                    | 250,000,000  | 2020/06/26 | 2023/10/30 | 62.50          |
| 62120    | SG Issuer - HSI R Bear CBBC Nov 2020 Q                    | 250,000,000  | 2020/06/26 | 2020/11/27 | 62.50          |
| 62096    | SG Issuer - HSI R Bear CBBC Nov 2020 Y                    | 250,000,000  | 2020/06/26 | 2020/11/27 | 62.50          |
| 62038    | SG Issuer - HSI R Bear CBBC Jan 2021 W                    | 250,000,000  | 2020/06/26 | 2021/01/28 | 62.50          |
| 61824    | SG Issuer - Meituan Dianping R Bull CBBC Mar 2021 B       | 100,000,000  | 2020/06/26 | 2021/03/30 | 25.00          |
| 61914    | SG Issuer - Meituan Dianping R Bear CBBC Feb 2021 N       | 100,000,000  | 2020/06/26 | 2021/02/25 | 48.00          |
| 61834    | SG Issuer - Ping An R Bull CBBC Feb 2021 I                | 100,000,000  | 2020/06/26 | 2021/02/25 | 25.00          |
| 62149    | SG Issuer - SMIC R Bull CBBC Jan 2021 E                   | 120,000,000  | 2020/06/26 | 2021/01/29 | 30.00          |
| 61852    | SG Issuer - SMIC R Bear CBBC Dec 2020 G                   | 120,000,000  | 2020/06/26 | 2020/12/30 | 30.00          |
| 62154    | SG Issuer - SMIC R Bear CBBC Feb 2021 C                   | 200,000,000  | 2020/06/26 | 2021/02/25 | 50.00          |
| 61968    | SG Issuer - Tencent R Bull CBBC Nov 2020 U                | 80,000,000   | 2020/06/26 | 2020/11/30 | 20.00          |
| 62166    | SG Issuer - Tencent R Bull CBBC Jan 2021 Q                | 80,000,000   | 2020/06/26 | 2021/01/29 | 20.00          |
| 61860    | SG Issuer - Tencent R Bear CBBC Jan 2021 C                | 80,000,000   | 2020/06/26 | 2021/01/29 | 20.00          |
| 61982    | SG Issuer - Tencent R Bear CBBC Feb 2021 G                | 80,000,000   | 2020/06/26 | 2021/02/26 | 45.60          |
| 61993    | SG Issuer - Tencent R Bear CBBC Feb 2021 H                | 80,000,000   | 2020/06/26 | 2021/02/26 | 53.60          |
| 61998    | SG Issuer - Tencent R Bear CBBC Mar 2021 I                | 80,000,000   | 2020/06/26 | 2021/03/30 | 65.60          |
| 62331    | SG Issuer - ZTE R Bull CBBC Dec 2020 C                    | 60,000,000   | 2020/06/26 | 2020/12/31 | 15.00          |
| 62346    | SG Issuer - ZTE R Bull CBBC Jan 2021 C                    | 60,000,000   | 2020/06/26 | 2021/01/29 | 15.00          |
| 62353    | SG Issuer - ZTE R Bull CBBC May 2021 A                    | 120,000,000  | 2020/06/26 | 2021/05/31 | 30.00          |
| 61626    | UBS AG - HSI R Bull CBBC Sep 2022 Q                       | 200,000,000  | 2020/06/26 | 2022/09/29 | 50.00          |
| 61627    | UBS AG - HSI R Bull CBBC Sep 2022 U                       | 200,000,000  | 2020/06/26 | 2022/09/29 | 50.00          |
| 61631    | UBS AG - HSI R Bull CBBC Sep 2022 X                       | 200,000,000  | 2020/06/26 | 2022/09/29 | 50.00          |
| 61617    | UBS AG - HSI R Bull CBBC Jan 2023 B                       | 200,000,000  | 2020/06/26 | 2023/01/30 | 50.00          |
| 61566    | UBS AG - HSI R Bull CBBC Jan 2023 J                       | 200,000,000  | 2020/06/26 | 2023/01/30 | 50.00          |
| 61632    | UBS AG - HSI R Bear CBBC Oct 2020 U                       | 200,000,000  | 2020/06/26 | 2020/10/29 | 50.00          |

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|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 61638    | UBS AG - HSI R Bear CBBC Oct 2020 Y                        | 200,000,000  | 2020/06/26 | 2020/10/29 | 50.00          |
| 61639    | UBS AG - HSI R Bear CBBC Nov 2020 H                        | 200,000,000  | 2020/06/26 | 2020/11/27 | 50.00          |
| 61652    | UBS AG - HSI R Bear CBBC Nov 2020 X                        | 200,000,000  | 2020/06/26 | 2020/11/27 | 50.00          |
| 61654    | UBS AG - SMIC R Bull CBBC Mar 2021 C                       | 100,000,000  | 2020/06/26 | 2021/03/22 | 25.00          |
| 61664    | UBS AG - Tencent R Bull CBBC Apr 2021 H                    | 200,000,000  | 2020/06/26 | 2021/04/14 | 50.00          |
| 61695    | UBS AG - Tencent R Bull CBBC Apr 2021 I                    | 40,000,000   | 2020/06/26 | 2021/04/15 | 10.00          |
| 61815    | Bank Vontobel - Alibaba Group R Bull CBBC Mar 2021 C       | 40,000,000   | 2020/06/26 | 2021/03/05 | 10.00          |
| 61794    | Bank Vontobel - CSOP A50 ETF R Bull CBBC Apr 2021 D        | 40,000,000   | 2020/06/26 | 2021/04/16 | 10.00          |
| 61803    | Bank Vontobel - Geely Auto R Bull CBBC Jan 2021 A          | 40,000,000   | 2020/06/26 | 2021/01/22 | 10.00          |
| 61805    | Bank Vontobel - Tencent R Bull CBBC Feb 2021 K             | 40,000,000   | 2020/06/26 | 2021/02/19 | 10.00          |
| 61811    | Bank Vontobel - Tencent R Bear CBBC Jan 2021 I             | 40,000,000   | 2020/06/26 | 2021/01/08 | 10.00          |
| 61810    | Bank Vontobel - Tencent R Bear CBBC Feb 2021 F             | 40,000,000   | 2020/06/26 | 2021/02/19 | 13.60          |
| 63175    | BOCI Asia Ltd. - AAC Tech R Bull CBBC Dec 2020 D           | 80,000,000   | 2020/06/29 | 2020/12/30 | 20.00          |
| 63185    | BOCI Asia Ltd. - Alibaba Group R Bull CBBC Dec 2020 Y      | 60,000,000   | 2020/06/29 | 2020/12/31 | 15.00          |
| 63189    | BOCI Asia Ltd. - China Life R Bull CBBC Dec 2020 C         | 40,000,000   | 2020/06/29 | 2020/12/31 | 10.00          |
| 63222    | BOCI Asia Ltd. - HSI R Bull CBBC Feb 2023 A                | 150,000,000  | 2020/06/29 | 2023/02/27 | 37.50          |
| 63251    | BOCI Asia Ltd. - HSI R Bull CBBC Feb 2023 B                | 150,000,000  | 2020/06/29 | 2023/02/27 | 37.50          |
| 63265    | BOCI Asia Ltd. - HSI R Bull CBBC Feb 2023 C                | 150,000,000  | 2020/06/29 | 2023/02/27 | 37.50          |
| 63286    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 B                | 150,000,000  | 2020/06/29 | 2020/10/29 | 37.50          |
| 63290    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 C                | 150,000,000  | 2020/06/29 | 2020/10/29 | 37.50          |
| 63125    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 U            | 40,000,000   | 2020/06/29 | 2020/12/30 | 10.00          |
| 63126    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 V            | 40,000,000   | 2020/06/29 | 2020/12/30 | 10.00          |
| 63159    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 J            | 40,000,000   | 2020/06/29 | 2020/12/30 | 16.40          |
| 63136    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 Q            | 40,000,000   | 2020/06/29 | 2020/12/30 | 10.40          |
| 63436    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 B     | 200,000,000  | 2020/06/29 | 2022/12/29 | 50.00          |
| 62616    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 E     | 200,000,000  | 2020/06/29 | 2022/12/29 | 50.00          |
| 63394    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Dec 2022 U     | 200,000,000  | 2020/06/29 | 2022/12/29 | 50.00          |
| 62627    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Oct 2020 Y     | 250,000,000  | 2020/06/29 | 2020/10/29 | 62.50          |
| 63481    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 C     | 250,000,000  | 2020/06/29 | 2020/12/30 | 62.50          |
| 63467    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 O     | 240,000,000  | 2020/06/29 | 2020/12/30 | 60.00          |
| 63877    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2021 A | 50,000,000   | 2020/06/29 | 2021/11/29 | 12.50          |
| 63888    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2021 A | 50,000,000   | 2020/06/29 | 2021/12/30 | 12.50          |
| 63895    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2021 B | 50,000,000   | 2020/06/29 | 2021/12/30 | 12.50          |
| 63794    | Credit Suisse AG - AAC Tech R Bull CBBC Dec 2020 G         | 80,000,000   | 2020/06/29 | 2020/12/30 | 20.00          |
| 63795    | Credit Suisse AG - AAC Tech R Bear CBBC Nov 2020 E         | 50,000,000   | 2020/06/29 | 2020/11/27 | 12.50          |
| 63812    | Credit Suisse AG - HKEX R Bull CBBC Dec 2020 K             | 50,000,000   | 2020/06/29 | 2020/12/30 | 12.50          |
| 63786    | Credit Suisse AG - HKEX R Bear CBBC Jan 2021 D             | 100,000,000  | 2020/06/29 | 2021/01/28 | 25.00          |
| 63857    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 X              | 200,000,000  | 2020/06/29 | 2023/03/30 | 50.00          |
| 63858    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 Y              | 200,000,000  | 2020/06/29 | 2023/03/30 | 50.00          |
| 63872    | Credit Suisse AG - HSI R Bull CBBC Mar 2023 Z              | 200,000,000  | 2020/06/29 | 2023/03/30 | 50.00          |
| 63760    | Credit Suisse AG - HSI R Bear CBBC Oct 2020 J              | 200,000,000  | 2020/06/29 | 2020/10/29 | 50.00          |
| 63765    | Credit Suisse AG - HSI R Bear CBBC Nov 2020 L              | 200,000,000  | 2020/06/29 | 2020/11/27 | 50.00          |
| 63777    | Credit Suisse AG - HSI R Bear CBBC Dec 2020 V              | 200,000,000  | 2020/06/29 | 2020/12/30 | 50.00          |
| 63873    | Credit Suisse AG - HSI R Bear CBBC Jan 2021 U              | 300,000,000  | 2020/06/29 | 2021/01/28 | 75.00          |
| 63792    | Credit Suisse AG - Tencent R Bull CBBC Dec 2020 M          | 50,000,000   | 2020/06/29 | 2020/12/30 | 12.50          |

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|----------|-------------------------------------------------------------|--------------|------------|------------|----------------|
| 63793    | Credit Suisse AG - Tencent R Bull CBBC Dec 2020 N           | 100,000,000  | 2020/06/29 | 2020/12/18 | 25.00          |
| 63811    | Credit Suisse AG - Tencent R Bear CBBC Jan 2021 B           | 100,000,000  | 2020/06/29 | 2021/01/28 | 25.00          |
| 62685    | Bank of East Asia - AAC Tech R Bull CBBC Jan 2021 A         | 60,000,000   | 2020/06/29 | 2021/01/26 | 15.00          |
| 62682    | Bank of East Asia - SMIC R Bull CBBC Jan 2021 A             | 60,000,000   | 2020/06/29 | 2021/01/26 | 15.00          |
| 62688    | Bank of East Asia - Xiaomi R Bull CBBC Jan 2021 A           | 40,000,000   | 2020/06/29 | 2021/01/26 | 10.00          |
| 62689    | Bank of East Asia - Xiaomi R Bear CBBC Jan 2021 A           | 40,000,000   | 2020/06/29 | 2021/01/26 | 10.00          |
| 64220    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Oct 2020 B       | 60,000,000   | 2020/06/29 | 2020/10/30 | 15.00          |
| 64074    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 O        | 160,000,000  | 2020/06/29 | 2023/10/30 | 40.00          |
| 64113    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 P        | 160,000,000  | 2020/06/29 | 2023/10/30 | 40.00          |
| 64121    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 Q        | 160,000,000  | 2020/06/29 | 2023/10/30 | 40.00          |
| 64122    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 R        | 160,000,000  | 2020/06/29 | 2023/10/30 | 40.00          |
| 64132    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 Q        | 160,000,000  | 2020/06/29 | 2020/12/30 | 40.00          |
| 64151    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 X        | 160,000,000  | 2020/06/29 | 2020/12/30 | 40.00          |
| 64085    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Dec 2020 Y        | 160,000,000  | 2020/06/29 | 2020/12/30 | 40.00          |
| 64081    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 E        | 160,000,000  | 2020/06/29 | 2021/01/28 | 40.00          |
| 64084    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 O        | 160,000,000  | 2020/06/29 | 2021/01/28 | 40.00          |
| 64156    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Nov 2020 I    | 60,000,000   | 2020/06/29 | 2020/11/30 | 15.00          |
| 64178    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Nov 2020 J    | 60,000,000   | 2020/06/29 | 2020/11/30 | 15.00          |
| 64202    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Nov 2020 F    | 60,000,000   | 2020/06/29 | 2020/11/30 | 15.00          |
| 64190    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Jun 2021 J    | 80,000,000   | 2020/06/29 | 2021/06/30 | 20.00          |
| 62659    | HK Bank - AAC Tech R Bull CBBC Jan 2021 E                   | 40,000,000   | 2020/06/29 | 2021/01/04 | 10.00          |
| 62681    | HK Bank - Geely Auto R Bull CBBC Nov 2020 D                 | 40,000,000   | 2020/06/29 | 2020/11/16 | 10.00          |
| 62634    | HK Bank - HKEX R Bull CBBC Nov 2020 N                       | 40,000,000   | 2020/06/29 | 2020/11/09 | 10.00          |
| 62666    | HK Bank - HSI R Bull CBBC Mar 2023 F                        | 60,000,000   | 2020/06/29 | 2023/03/30 | 15.00          |
| 62677    | HK Bank - HSI R Bear CBBC Oct 2020 D                        | 100,000,000  | 2020/06/29 | 2020/10/29 | 25.00          |
| 62679    | HK Bank - Tencent R Bull CBBC Dec 2020 A                    | 40,000,000   | 2020/06/29 | 2020/12/07 | 10.00          |
| 62567    | HK Bank - Tencent R Bear CBBC Nov 2020 K                    | 40,000,000   | 2020/06/29 | 2020/11/26 | 10.00          |
| 62631    | HK Bank - Tencent R Bear CBBC Dec 2020 B                    | 100,000,000  | 2020/06/29 | 2020/12/14 | 25.00          |
| 62637    | HK Bank - ZTE R Bull CBBC Jan 2021 C                        | 40,000,000   | 2020/06/29 | 2021/01/04 | 10.00          |
| 63689    | Haitong Int'l Sec - AAC Tech R Bull CBBC Jan 2021 A         | 60,000,000   | 2020/06/29 | 2021/01/29 | 15.00          |
| 63669    | Haitong Int'l Sec - Alibaba Group R Bear CBBC Oct 2020 F    | 80,000,000   | 2020/06/29 | 2020/10/28 | 28.56          |
| 63704    | Haitong Int'l Sec - ANTA Sports R Bull CBBC Nov 2020 A      | 60,000,000   | 2020/06/29 | 2020/11/30 | 15.00          |
| 63567    | Haitong Int'l Sec - HSI R Bull CBBC Dec 2022 G              | 200,000,000  | 2020/06/29 | 2022/12/29 | 50.00          |
| 63522    | Haitong Int'l Sec - HSI R Bull CBBC Aug 2023 C              | 300,000,000  | 2020/06/29 | 2023/08/30 | 75.00          |
| 63706    | Haitong Int'l Sec - HSI R Bull CBBC Aug 2023 D              | 150,000,000  | 2020/06/29 | 2023/08/30 | 37.50          |
| 63711    | Haitong Int'l Sec - HSI R Bear CBBC Sep 2020 J              | 150,000,000  | 2020/06/29 | 2020/09/29 | 37.50          |
| 63557    | Haitong Int'l Sec - HSI R Bear CBBC Nov 2020 M              | 150,000,000  | 2020/06/29 | 2020/11/27 | 37.50          |
| 63737    | Haitong Int'l Sec - HSI R Bear CBBC Feb 2021 J              | 300,000,000  | 2020/06/29 | 2021/02/25 | 75.00          |
| 63650    | Haitong Int'l Sec - Meituan Dianping R Bear CBBC Dec 2020 H | 80,000,000   | 2020/06/29 | 2020/12/29 | 20.00          |
| 63577    | Haitong Int'l Sec - Tencent R Bull CBBC Mar 2021 B          | 60,000,000   | 2020/06/29 | 2021/03/11 | 15.00          |
| 63587    | Haitong Int'l Sec - Tencent R Bull CBBC Mar 2021 C          | 60,000,000   | 2020/06/29 | 2021/03/11 | 15.00          |
| 63595    | Haitong Int'l Sec - Tencent R Bear CBBC Oct 2020 O          | 60,000,000   | 2020/06/29 | 2020/10/28 | 15.00          |
| 63611    | Haitong Int'l Sec - Tencent R Bear CBBC Oct 2020 P          | 60,000,000   | 2020/06/29 | 2020/10/28 | 22.92          |
| 63331    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 F               | 200,000,000  | 2020/06/29 | 2023/03/30 | 50.00          |
| 63362    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 L               | 200,000,000  | 2020/06/29 | 2023/03/30 | 50.00          |



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|----------|-----------------------------------------------------------|--------------|------------|------------|----------------|
| 63309    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 V             | 200,000,000  | 2020/06/29 | 2023/09/28 | 50.00          |
| 63370    | J P Morgan SP BV - HSI R Bull CBBC Sep 2023 W             | 200,000,000  | 2020/06/29 | 2023/09/28 | 50.00          |
| 63332    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 G             | 200,000,000  | 2020/06/29 | 2020/10/29 | 50.00          |
| 63340    | J P Morgan SP BV - HSI R Bear CBBC Nov 2020 A             | 200,000,000  | 2020/06/29 | 2020/11/27 | 50.00          |
| 63377    | J P Morgan SP BV - Tencent R Bull CBBC Jan 2021 F         | 50,000,000   | 2020/06/29 | 2021/01/08 | 12.50          |
| 63519    | Morgan Stanley Asia Products - HSI R Bull CBBC Mar 2023 K | 150,000,000  | 2020/06/29 | 2023/03/30 | 37.50          |
| 63485    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 H | 150,000,000  | 2020/06/29 | 2020/10/29 | 37.50          |
| 63490    | Morgan Stanley Asia Products - HSI R Bear CBBC Oct 2020 J | 150,000,000  | 2020/06/29 | 2020/10/29 | 37.50          |
| 63899    | SG Issuer - Alibaba Group R Bull CBBC Jan 2021 K          | 60,000,000   | 2020/06/29 | 2021/01/29 | 15.00          |
| 63994    | SG Issuer - CNOOC R Bull CBBC Jan 2021 A                  | 40,000,000   | 2020/06/29 | 2021/01/29 | 10.00          |
| 63995    | SG Issuer - Geely Auto R Bull CBBC Jan 2021 D             | 40,000,000   | 2020/06/29 | 2021/01/29 | 10.00          |
| 64022    | SG Issuer - HKEX R Bull CBBC Feb 2021 C                   | 50,000,000   | 2020/06/29 | 2021/02/25 | 12.50          |
| 63906    | SG Issuer - HKEX R Bear CBBC Feb 2021 D                   | 50,000,000   | 2020/06/29 | 2021/02/25 | 12.50          |
| 64029    | SG Issuer - HKEX R Bear CBBC Feb 2021 E                   | 50,000,000   | 2020/06/29 | 2021/02/26 | 31.50          |
| 63964    | SG Issuer - HSI R Bull CBBC Aug 2023 L                    | 500,000,000  | 2020/06/29 | 2023/08/30 | 125.00         |
| 64060    | SG Issuer - HSI R Bull CBBC Sep 2023 Q                    | 250,000,000  | 2020/06/29 | 2023/09/28 | 62.50          |
| 63992    | SG Issuer - HSI R Bull CBBC Oct 2023 U                    | 250,000,000  | 2020/06/29 | 2023/10/30 | 62.50          |
| 64066    | SG Issuer - HSI R Bull CBBC Oct 2023 V                    | 250,000,000  | 2020/06/29 | 2023/10/30 | 62.50          |
| 64001    | SG Issuer - HSI R Bear CBBC Sep 2020 B                    | 250,000,000  | 2020/06/29 | 2020/09/29 | 62.50          |
| 64003    | SG Issuer - HSI R Bear CBBC Oct 2020 Z                    | 250,000,000  | 2020/06/29 | 2020/10/29 | 62.50          |
| 64049    | SG Issuer - HSI R Bear CBBC Dec 2020 T                    | 250,000,000  | 2020/06/29 | 2020/12/30 | 62.50          |
| 64056    | SG Issuer - HSI R Bear CBBC Jan 2021 X                    | 250,000,000  | 2020/06/29 | 2021/01/28 | 62.50          |
| 64016    | SG Issuer - HSI R Bear CBBC Feb 2021 G                    | 500,000,000  | 2020/06/29 | 2021/02/25 | 125.00         |
| 64030    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 P       | 100,000,000  | 2020/06/29 | 2021/01/29 | 25.00          |
| 63997    | SG Issuer - Tencent R Bull CBBC Jan 2021 R                | 80,000,000   | 2020/06/29 | 2021/01/29 | 20.00          |
| 63934    | SG Issuer - Tencent R Bear CBBC Jan 2021 D                | 80,000,000   | 2020/06/29 | 2021/01/28 | 20.00          |
| 63940    | SG Issuer - Tencent R Bear CBBC Jan 2021 E                | 80,000,000   | 2020/06/29 | 2021/01/29 | 20.00          |
| 63954    | SG Issuer - Xiaomi R Bull CBBC Dec 2020 P                 | 60,000,000   | 2020/06/29 | 2020/12/31 | 15.00          |
| 63039    | UBS AG - Alibaba Group R Bull CBBC Mar 2021 G             | 80,000,000   | 2020/06/29 | 2021/03/04 | 20.00          |
| 63038    | UBS AG - HKEX R Bull CBBC Mar 2021 E                      | 50,000,000   | 2020/06/29 | 2021/03/04 | 12.50          |
| 62880    | UBS AG - HKEX R Bear CBBC Dec 2020 M                      | 50,000,000   | 2020/06/29 | 2020/12/30 | 12.50          |
| 62915    | UBS AG - HKEX R Bear CBBC Jun 2021 A                      | 200,000,000  | 2020/06/29 | 2021/06/30 | 50.00          |
| 63118    | UBS AG - HSI R Bull CBBC Jan 2023 L                       | 200,000,000  | 2020/06/29 | 2023/01/30 | 50.00          |
| 63122    | UBS AG - HSI R Bull CBBC Jan 2023 U                       | 200,000,000  | 2020/06/29 | 2023/01/30 | 50.00          |
| 62930    | UBS AG - HSI R Bear CBBC Sep 2020 M                       | 200,000,000  | 2020/06/29 | 2020/09/29 | 50.00          |
| 63003    | UBS AG - HSI R Bear CBBC Oct 2020 B                       | 200,000,000  | 2020/06/29 | 2020/10/29 | 50.00          |
| 63005    | UBS AG - HSI R Bear CBBC Oct 2020 E                       | 200,000,000  | 2020/06/29 | 2020/10/29 | 50.00          |
| 63007    | UBS AG - HSI R Bear CBBC Oct 2020 F                       | 200,000,000  | 2020/06/29 | 2020/10/29 | 50.00          |
| 63015    | UBS AG - HSI R Bear CBBC Oct 2020 I                       | 200,000,000  | 2020/06/29 | 2020/10/29 | 50.00          |
| 63020    | UBS AG - HSI R Bear CBBC Oct 2020 M                       | 200,000,000  | 2020/06/29 | 2020/10/29 | 50.00          |
| 63094    | UBS AG - SMIC R Bear CBBC Mar 2021 A                      | 100,000,000  | 2020/06/29 | 2021/03/22 | 25.00          |
| 63034    | UBS AG - Tencent R Bull CBBC Mar 2021 M                   | 40,000,000   | 2020/06/29 | 2021/03/03 | 10.00          |
| 63035    | UBS AG - Tencent R Bull CBBC Mar 2021 N                   | 200,000,000  | 2020/06/29 | 2021/03/04 | 50.00          |
| 62938    | UBS AG - Tencent R Bear CBBC Dec 2020 U                   | 40,000,000   | 2020/06/29 | 2020/12/30 | 10.00          |
| 62940    | UBS AG - Tencent R Bear CBBC Jan 2021 P                   | 40,000,000   | 2020/06/29 | 2021/01/11 | 10.00          |

# 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) |
|----------|------------------------------------------------------------|--------------|------------|------------|----------------|
| 62956    | UBS AG - Tencent R Bear CBBC Jan 2021 Q                    | 40,000,000   | 2020/06/29 | 2021/01/28 | 20.00          |
| 62965    | UBS AG - Tencent R Bear CBBC Feb 2021 J                    | 200,000,000  | 2020/06/29 | 2021/02/09 | 50.00          |
| 62988    | UBS AG - Tencent R Bear CBBC May 2021 A                    | 200,000,000  | 2020/06/29 | 2021/05/31 | 50.00          |
| 62971    | UBS AG - Tencent R Bear CBBC Jun 2021 A                    | 200,000,000  | 2020/06/29 | 2021/06/29 | 50.00          |
| 63072    | UBS AG - Xiaomi R Bull CBBC Feb 2021 H                     | 60,000,000   | 2020/06/29 | 2021/02/01 | 15.00          |
| 63095    | UBS AG - ZTE R Bull CBBC Mar 2021 A                        | 80,000,000   | 2020/06/29 | 2021/03/22 | 20.00          |
| 62862    | Bank Vontobel - AAC Tech R Bull CBBC Feb 2021 C            | 40,000,000   | 2020/06/29 | 2021/02/05 | 10.00          |
| 62844    | Bank Vontobel - HKEX R Bull CBBC Feb 2021 B                | 40,000,000   | 2020/06/29 | 2021/02/05 | 10.00          |
| 62776    | Bank Vontobel - HSI N Bear CBBC Jan 2021 C                 | 40,000,000   | 2020/06/29 | 2021/01/28 | 10.00          |
| 62747    | Bank Vontobel - HSI R Bull CBBC Mar 2023 E                 | 80,000,000   | 2020/06/29 | 2023/03/30 | 20.00          |
| 62863    | Bank Vontobel - HSI R Bull CBBC Mar 2023 F                 | 80,000,000   | 2020/06/29 | 2023/03/30 | 20.00          |
| 62750    | Bank Vontobel - HSI R Bear CBBC Jan 2021 A                 | 80,000,000   | 2020/06/29 | 2021/01/28 | 20.00          |
| 62766    | Bank Vontobel - HSI R Bear CBBC Jan 2021 B                 | 80,000,000   | 2020/06/29 | 2021/01/28 | 20.00          |
| 62797    | Bank Vontobel - Meituan Dianping R Bull CBBC Feb 2021 N    | 60,000,000   | 2020/06/29 | 2021/02/19 | 15.00          |
| 62779    | Bank Vontobel - Meituan Dianping R Bear CBBC Jan 2021 S    | 60,000,000   | 2020/06/29 | 2021/01/15 | 15.00          |
| 62838    | Bank Vontobel - Xiaomi R Bull CBBC Feb 2021 H              | 40,000,000   | 2020/06/29 | 2021/02/19 | 10.00          |
| 64298    | BOCI Asia Ltd. - Alibaba Group R Bear CBBC Dec 2020 L      | 60,000,000   | 2020/06/30 | 2020/12/31 | 15.00          |
| 64297    | BOCI Asia Ltd. - ANTA Sports R Bull CBBC Dec 2020 C        | 40,000,000   | 2020/06/30 | 2020/12/31 | 10.00          |
| 64354    | BOCI Asia Ltd. - HKEX R Bull CBBC Dec 2020 E               | 40,000,000   | 2020/06/30 | 2020/12/30 | 10.00          |
| 64360    | BOCI Asia Ltd. - HKEX R Bear CBBC Dec 2020 E               | 40,000,000   | 2020/06/30 | 2020/12/30 | 10.00          |
| 64387    | BOCI Asia Ltd. - HSI R Bull CBBC Oct 2021 A                | 150,000,000  | 2020/06/30 | 2021/10/28 | 37.50          |
| 64365    | BOCI Asia Ltd. - HSI R Bull CBBC Feb 2023 D                | 150,000,000  | 2020/06/30 | 2023/02/27 | 37.50          |
| 64381    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 D                | 150,000,000  | 2020/06/30 | 2020/10/29 | 37.50          |
| 64479    | BOCI Asia Ltd. - HSI R Bear CBBC Oct 2020 H                | 150,000,000  | 2020/06/30 | 2020/10/29 | 37.50          |
| 64300    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 W            | 40,000,000   | 2020/06/30 | 2020/12/30 | 10.00          |
| 64301    | BOCI Asia Ltd. - Tencent R Bull CBBC Dec 2020 X            | 40,000,000   | 2020/06/30 | 2020/12/30 | 10.00          |
| 64320    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 K            | 40,000,000   | 2020/06/30 | 2020/12/30 | 10.00          |
| 64341    | BOCI Asia Ltd. - Tencent R Bear CBBC Dec 2020 M            | 40,000,000   | 2020/06/30 | 2020/12/30 | 21.20          |
| 64257    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2021 E    | 50,000,000   | 2020/06/30 | 2021/09/29 | 12.50          |
| 64260    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2021 F    | 50,000,000   | 2020/06/30 | 2021/09/29 | 12.50          |
| 64282    | BNP Paribas Issuance B.V. - HKEX R Bull CBBC Sep 2021 G    | 50,000,000   | 2020/06/30 | 2021/09/29 | 12.50          |
| 65128    | BNP Paribas Issuance B.V. - HSI R Bull CBBC Nov 2022 Z     | 190,000,000  | 2020/06/30 | 2022/11/29 | 47.50          |
| 64296    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 I     | 250,000,000  | 2020/06/30 | 2020/12/30 | 62.50          |
| 65137    | BNP Paribas Issuance B.V. - HSI R Bear CBBC Dec 2020 J     | 240,000,000  | 2020/06/30 | 2020/12/30 | 60.00          |
| 64231    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Nov 2021 B | 50,000,000   | 2020/06/30 | 2021/11/29 | 12.50          |
| 64242    | BNP Paribas Issuance B.V. - Tencent R Bull CBBC Dec 2021 B | 50,000,000   | 2020/06/30 | 2021/12/30 | 12.50          |
| 64223    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2021 B | 50,000,000   | 2020/06/30 | 2021/11/29 | 12.50          |
| 64249    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Nov 2021 C | 50,000,000   | 2020/06/30 | 2021/11/29 | 40.00          |
| 64246    | BNP Paribas Issuance B.V. - Tencent R Bear CBBC Dec 2021 C | 50,000,000   | 2020/06/30 | 2021/12/30 | 35.00          |
| 65423    | Credit Suisse AG - AAC Tech R Bull CBBC Jan 2021 B         | 80,000,000   | 2020/06/30 | 2021/01/28 | 20.00          |
| 65421    | Credit Suisse AG - AIA R Bull CBBC Dec 2020 L              | 70,000,000   | 2020/06/30 | 2020/12/18 | 17.50          |
| 65431    | Credit Suisse AG - HKEX R Bull CBBC Dec 2020 L             | 50,000,000   | 2020/06/30 | 2020/12/18 | 12.50          |
| 65348    | Credit Suisse AG - HSI R Bull CBBC Feb 2023 S              | 200,000,000  | 2020/06/30 | 2023/02/27 | 50.00          |
| 65360    | Credit Suisse AG - HSI R Bull CBBC Apr 2023 K              | 200,000,000  | 2020/06/30 | 2023/04/27 | 50.00          |
| 65461    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 D              | 200,000,000  | 2020/06/30 | 2020/09/29 | 50.00          |

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| 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) |
|----------|----------------------------------------------------------|--------------|------------|------------|----------------|
| 65467    | Credit Suisse AG - HSI R Bear CBBC Sep 2020 E            | 200,000,000  | 2020/06/30 | 2020/09/29 | 50.00          |
| 65412    | Credit Suisse AG - SMIC R Bull CBBC Dec 2020 E           | 100,000,000  | 2020/06/30 | 2020/12/30 | 25.00          |
| 65413    | Credit Suisse AG - SMIC R Bear CBBC Jan 2021 D           | 50,000,000   | 2020/06/30 | 2021/01/28 | 12.50          |
| 65417    | Credit Suisse AG - SMIC R Bear CBBC Mar 2021 A           | 50,000,000   | 2020/06/30 | 2021/03/30 | 12.50          |
| 65441    | Credit Suisse AG - Tencent R Bull CBBC Nov 2020 U        | 50,000,000   | 2020/06/30 | 2020/11/27 | 12.50          |
| 65374    | Credit Suisse AG - Tencent R Bear CBBC Feb 2021 B        | 100,000,000  | 2020/06/30 | 2021/02/25 | 25.00          |
| 64519    | Bank of East Asia - China Mobile R Bull CBBC Jan 2021 A  | 60,000,000   | 2020/06/30 | 2021/01/28 | 15.00          |
| 64530    | Bank of East Asia - Ping An R Bull CBBC Jan 2021 A       | 80,000,000   | 2020/06/30 | 2021/01/28 | 20.00          |
| 64535    | Bank of East Asia - Sunny Optical R Bull CBBC Jan 2021 A | 40,000,000   | 2020/06/30 | 2021/01/28 | 10.00          |
| 64480    | Bank of East Asia - Tencent R Bull CBBC Jan 2021 A       | 30,000,000   | 2020/06/30 | 2021/01/28 | 10.20          |
| 64508    | Bank of East Asia - Tencent R Bear CBBC Jan 2021 A       | 30,000,000   | 2020/06/30 | 2021/01/28 | 10.20          |
| 66294    | Goldman Sachs SP (Asia) - Alibaba R Bear CBBC Nov 2020 A | 60,000,000   | 2020/06/30 | 2020/11/30 | 15.00          |
| 66238    | Goldman Sachs SP (Asia) - HKEX R Bull CBBC Oct 2020 C    | 60,000,000   | 2020/06/30 | 2020/10/30 | 15.00          |
| 66137    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 S     | 160,000,000  | 2020/06/30 | 2023/10/30 | 40.00          |
| 66162    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 T     | 160,000,000  | 2020/06/30 | 2023/10/30 | 40.00          |
| 66417    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 U     | 160,000,000  | 2020/06/30 | 2023/10/30 | 40.00          |
| 66443    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 V     | 160,000,000  | 2020/06/30 | 2023/10/30 | 40.00          |
| 66468    | Goldman Sachs SP (Asia) - HSI R Bull CBBC Oct 2023 W     | 160,000,000  | 2020/06/30 | 2023/10/30 | 40.00          |
| 66410    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 F     | 160,000,000  | 2020/06/30 | 2021/01/28 | 40.00          |
| 66369    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Jan 2021 P     | 160,000,000  | 2020/06/30 | 2021/01/28 | 40.00          |
| 66133    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 F     | 160,000,000  | 2020/06/30 | 2021/02/25 | 40.00          |
| 66307    | Goldman Sachs SP (Asia) - HSI R Bear CBBC Feb 2021 I     | 160,000,000  | 2020/06/30 | 2021/02/25 | 40.00          |
| 66189    | Goldman Sachs SP (Asia) - Meituan R Bear CBBC Jun 2021 I | 60,000,000   | 2020/06/30 | 2021/06/30 | 15.00          |
| 66191    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Nov 2020 K | 60,000,000   | 2020/06/30 | 2020/11/30 | 15.00          |
| 66223    | Goldman Sachs SP (Asia) - Tencent R Bull CBBC Jun 2021 C | 80,000,000   | 2020/06/30 | 2021/06/30 | 20.00          |
| 66240    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Nov 2020 G | 60,000,000   | 2020/06/30 | 2020/11/30 | 15.00          |
| 66285    | Goldman Sachs SP (Asia) - Tencent R Bear CBBC Jun 2021 K | 80,000,000   | 2020/06/30 | 2021/06/30 | 20.00          |
| 64578    | HK Bank - HKEX R Bull CBBC Dec 2020 B                    | 40,000,000   | 2020/06/30 | 2020/12/10 | 10.00          |
| 64664    | HK Bank - HKEX R Bear CBBC Nov 2020 H                    | 40,000,000   | 2020/06/30 | 2020/11/16 | 12.40          |
| 64686    | HK Bank - HKEX R Bear CBBC Jan 2021 A                    | 100,000,000  | 2020/06/30 | 2021/01/04 | 25.00          |
| 64738    | HK Bank - HSI R Bull CBBC Mar 2023 G                     | 60,000,000   | 2020/06/30 | 2023/03/30 | 15.00          |
| 64743    | HK Bank - HSI R Bear CBBC Oct 2020 E                     | 80,000,000   | 2020/06/30 | 2020/10/29 | 20.00          |
| 64731    | HK Bank - Ping An R Bear CBBC Nov 2020 B                 | 50,000,000   | 2020/06/30 | 2020/11/16 | 12.50          |
| 64633    | HK Bank - SMIC R Bull CBBC Jan 2021 A                    | 40,000,000   | 2020/06/30 | 2021/01/04 | 10.00          |
| 64594    | HK Bank - Tencent R Bull CBBC Dec 2020 B                 | 40,000,000   | 2020/06/30 | 2020/12/14 | 10.00          |
| 64612    | HK Bank - Tencent R Bull CBBC Dec 2020 C                 | 40,000,000   | 2020/06/30 | 2020/12/10 | 10.00          |
| 64538    | HK Bank - Tencent R Bear CBBC Dec 2020 C                 | 40,000,000   | 2020/06/30 | 2020/12/10 | 10.00          |
| 64549    | HK Bank - Tencent R Bear CBBC Dec 2020 D                 | 100,000,000  | 2020/06/30 | 2020/12/21 | 25.00          |
| 65572    | Haitong Int'l Sec - HKEX R Bull CBBC Jan 2021 D          | 60,000,000   | 2020/06/30 | 2021/01/29 | 15.00          |
| 65582    | Haitong Int'l Sec - HKEX R Bear CBBC Feb 2021 A          | 60,000,000   | 2020/06/30 | 2021/02/25 | 24.66          |
| 65499    | Haitong Int'l Sec - HSI R Bull CBBC Apr 2023 O           | 150,000,000  | 2020/06/30 | 2023/04/27 | 37.50          |
| 65492    | Haitong Int'l Sec - HSI R Bull CBBC Sep 2023 G           | 150,000,000  | 2020/06/30 | 2023/09/28 | 37.50          |
| 65504    | Haitong Int'l Sec - HSI R Bear CBBC Dec 2020 P           | 200,000,000  | 2020/06/30 | 2020/12/30 | 50.00          |
| 65546    | Haitong Int'l Sec - Tencent R Bull CBBC Mar 2021 D       | 60,000,000   | 2020/06/30 | 2021/03/30 | 15.00          |
| 65554    | Haitong Int'l Sec - Tencent R Bull CBBC Mar 2021 E       | 60,000,000   | 2020/06/30 | 2021/03/30 | 15.00          |

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|----------|--------------------------------------------------------------|--------------|------------|------------|----------------|
| 65544    | Haitong Int'l Sec - Tencent R Bull CBBC May 2021 A           | 60,000,000   | 2020/06/30 | 2021/05/31 | 15.00          |
| 65570    | Haitong Int'l Sec - Tencent R Bear CBBC Jan 2021 H           | 60,000,000   | 2020/06/30 | 2021/01/29 | 15.00          |
| 65555    | Haitong Int'l Sec - Tencent R Bear CBBC Mar 2021 A           | 60,000,000   | 2020/06/30 | 2021/03/30 | 35.76          |
| 65557    | Haitong Int'l Sec - Tencent R Bear CBBC Mar 2021 B           | 60,000,000   | 2020/06/30 | 2021/03/30 | 29.76          |
| 65104    | J P Morgan SP BV - HKEX R Bull CBBC Jan 2021 D               | 40,000,000   | 2020/06/30 | 2021/01/15 | 10.00          |
| 65071    | J P Morgan SP BV - HKEX R Bear CBBC Dec 2020 D               | 40,000,000   | 2020/06/30 | 2020/12/18 | 12.60          |
| 65081    | J P Morgan SP BV - HKEX R Bear CBBC Jan 2021 B               | 200,000,000  | 2020/06/30 | 2021/01/08 | 50.00          |
| 65025    | J P Morgan SP BV - HSI R Bull CBBC Feb 2023 Z                | 200,000,000  | 2020/06/30 | 2023/02/27 | 50.00          |
| 65029    | J P Morgan SP BV - HSI R Bull CBBC Mar 2023 N                | 200,000,000  | 2020/06/30 | 2023/03/30 | 50.00          |
| 65034    | J P Morgan SP BV - HSI R Bull CBBC Apr 2023 N                | 200,000,000  | 2020/06/30 | 2023/04/27 | 50.00          |
| 65026    | J P Morgan SP BV - HSI R Bear CBBC Oct 2020 K                | 200,000,000  | 2020/06/30 | 2020/10/29 | 50.00          |
| 65035    | J P Morgan SP BV - Tencent R Bull CBBC Dec 2020 D            | 50,000,000   | 2020/06/30 | 2020/12/18 | 12.50          |
| 65038    | J P Morgan SP BV - Tencent R Bear CBBC Jan 2021 E            | 50,000,000   | 2020/06/30 | 2021/01/08 | 16.75          |
| 65057    | J P Morgan SP BV - Tencent R Bear CBBC Jan 2021 F            | 200,000,000  | 2020/06/30 | 2021/01/15 | 50.00          |
| 66096    | Morgan Stanley Asia Products - HKEX R Bull CBBC May 2021 A   | 40,000,000   | 2020/06/30 | 2021/05/03 | 12.88          |
| 66088    | Morgan Stanley Asia Products - HKEX R Bear CBBC Mar 2021 A   | 40,000,000   | 2020/06/30 | 2021/03/01 | 10.00          |
| 66083    | Morgan Stanley Asia Products - Tencent R Bull CBBC Nov 2020E | 40,000,000   | 2020/06/30 | 2020/11/16 | 18.00          |
| 66071    | Morgan Stanley Asia Products - Tencent R Bull CBBC Mar 2021A | 40,000,000   | 2020/06/30 | 2021/03/01 | 14.32          |
| 66059    | Morgan Stanley Asia Products - Tencent R Bear CBBC Mar 2021E | 40,000,000   | 2020/06/30 | 2021/03/01 | 10.00          |
| 66078    | Morgan Stanley Asia Products - Tencent R Bear CBBC Apr 2021B | 40,000,000   | 2020/06/30 | 2021/04/01 | 12.08          |
| 65691    | SG Issuer - AIA R Bull CBBC Jan 2021 E                       | 60,000,000   | 2020/06/30 | 2021/01/29 | 15.00          |
| 65692    | SG Issuer - Alibaba Group R Bull CBBC Dec 2020 Y             | 60,000,000   | 2020/06/30 | 2020/12/30 | 15.00          |
| 65595    | SG Issuer - Alibaba Group R Bull CBBC Jan 2021 L             | 60,000,000   | 2020/06/30 | 2021/01/29 | 15.00          |
| 65745    | SG Issuer - HKEX R Bull CBBC Jan 2021 I                      | 50,000,000   | 2020/06/30 | 2021/01/29 | 12.50          |
| 65850    | SG Issuer - HKEX R Bull CBBC Jan 2021 J                      | 50,000,000   | 2020/06/30 | 2021/01/29 | 12.50          |
| 65702    | SG Issuer - HKEX R Bear CBBC Dec 2020 O                      | 50,000,000   | 2020/06/30 | 2020/12/30 | 12.50          |
| 65837    | SG Issuer - HKEX R Bear CBBC Dec 2020 P                      | 50,000,000   | 2020/06/30 | 2020/12/30 | 19.75          |
| 65638    | SG Issuer - HKEX R Bear CBBC Jan 2021 N                      | 50,000,000   | 2020/06/30 | 2021/01/29 | 12.50          |
| 65674    | SG Issuer - HSI R Bull CBBC Sep 2023 R                       | 250,000,000  | 2020/06/30 | 2023/09/28 | 62.50          |
| 65828    | SG Issuer - HSI R Bull CBBC Sep 2023 S                       | 250,000,000  | 2020/06/30 | 2023/09/28 | 62.50          |
| 65829    | SG Issuer - HSI R Bull CBBC Sep 2023 T                       | 250,000,000  | 2020/06/30 | 2023/09/28 | 62.50          |
| 65833    | SG Issuer - HSI R Bull CBBC Oct 2023 W                       | 250,000,000  | 2020/06/30 | 2023/10/30 | 62.50          |
| 65784    | SG Issuer - HSI R Bear CBBC Oct 2020 A                       | 250,000,000  | 2020/06/30 | 2020/10/29 | 62.50          |
| 65787    | SG Issuer - HSI R Bear CBBC Dec 2020 V                       | 250,000,000  | 2020/06/30 | 2020/12/30 | 62.50          |
| 65817    | SG Issuer - HSI R Bear CBBC Jan 2021 I                       | 250,000,000  | 2020/06/30 | 2021/01/28 | 62.50          |
| 65650    | SG Issuer - Meituan Dianping R Bull CBBC Jan 2021 Q          | 100,000,000  | 2020/06/30 | 2021/01/29 | 25.00          |
| 65875    | SG Issuer - SMIC R Bull CBBC Dec 2020 B                      | 120,000,000  | 2020/06/30 | 2020/12/30 | 30.00          |
| 65898    | SG Issuer - SMIC R Bear CBBC Feb 2021 D                      | 200,000,000  | 2020/06/30 | 2021/02/25 | 50.00          |
| 65929    | SG Issuer - Tencent R Bull CBBC Dec 2020 W                   | 80,000,000   | 2020/06/30 | 2020/12/31 | 20.00          |
| 65940    | SG Issuer - Tencent R Bull CBBC Feb 2021 F                   | 80,000,000   | 2020/06/30 | 2021/02/25 | 20.00          |
| 66002    | SG Issuer - Tencent R Bull CBBC Feb 2021 G                   | 80,000,000   | 2020/06/30 | 2021/02/25 | 20.00          |
| 65660    | SG Issuer - Tencent R Bear CBBC Feb 2021 I                   | 80,000,000   | 2020/06/30 | 2021/02/26 | 20.00          |
| 65751    | SG Issuer - Tencent R Bear CBBC Feb 2021 L                   | 80,000,000   | 2020/06/30 | 2021/02/25 | 20.00          |
| 66016    | SG Issuer - Tencent R Bear CBBC Mar 2021 J                   | 80,000,000   | 2020/06/30 | 2021/03/30 | 44.80          |
| 66057    | SG Issuer - Tencent R Bear CBBC Mar 2021 K                   | 80,000,000   | 2020/06/30 | 2021/03/31 | 64.80          |

# 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) |
|----------|-------------------------------------------------|--------------|------------|------------|----------------|
| 65673    | SG Issuer - Tencent R Bear CBBC Apr 2021 D      | 200,000,000  | 2020/06/30 | 2021/04/30 | 50.00          |
| 64888    | UBS AG - AIA R Bull CBBC Mar 2021 B             | 60,000,000   | 2020/06/30 | 2021/03/31 | 15.00          |
| 64899    | UBS AG - Alibaba Group R Bull CBBC Mar 2021 H   | 80,000,000   | 2020/06/30 | 2021/03/31 | 20.00          |
| 64911    | UBS AG - Alibaba Group R Bear CBBC Feb 2021 L   | 80,000,000   | 2020/06/30 | 2021/02/22 | 20.00          |
| 64930    | UBS AG - HKEX R Bull CBBC Feb 2021 I            | 50,000,000   | 2020/06/30 | 2021/02/22 | 12.50          |
| 64934    | UBS AG - HKEX R Bull CBBC Apr 2021 A            | 200,000,000  | 2020/06/30 | 2021/04/19 | 50.00          |
| 64848    | UBS AG - HKEX R Bear CBBC Dec 2020 N            | 50,000,000   | 2020/06/30 | 2020/12/14 | 12.50          |
| 64870    | UBS AG - HKEX R Bear CBBC Jan 2021 I            | 200,000,000  | 2020/06/30 | 2021/01/25 | 50.00          |
| 64939    | UBS AG - HKEX R Bear CBBC Apr 2021 C            | 200,000,000  | 2020/06/30 | 2021/04/26 | 50.00          |
| 64785    | UBS AG - HSI R Bull CBBC Sep 2022 R             | 200,000,000  | 2020/06/30 | 2022/09/29 | 50.00          |
| 64926    | UBS AG - HSI R Bull CBBC Sep 2022 S             | 200,000,000  | 2020/06/30 | 2022/09/29 | 50.00          |
| 64753    | UBS AG - HSI R Bull CBBC Sep 2022 Y             | 200,000,000  | 2020/06/30 | 2022/09/29 | 50.00          |
| 64769    | UBS AG - HSI R Bull CBBC Sep 2022 Z             | 200,000,000  | 2020/06/30 | 2022/09/29 | 50.00          |
| 64929    | UBS AG - HSI R Bull CBBC Feb 2023 W             | 400,000,000  | 2020/06/30 | 2023/02/27 | 100.00         |
| 64999    | UBS AG - HSI R Bear CBBC Oct 2020 O             | 200,000,000  | 2020/06/30 | 2020/10/29 | 50.00          |
| 65003    | UBS AG - HSI R Bear CBBC Oct 2020 T             | 200,000,000  | 2020/06/30 | 2020/10/29 | 50.00          |
| 65008    | UBS AG - HSI R Bear CBBC Nov 2020 Y             | 200,000,000  | 2020/06/30 | 2020/11/27 | 50.00          |
| 65005    | UBS AG - HSI R Bear CBBC Feb 2021 B             | 400,000,000  | 2020/06/30 | 2021/02/25 | 100.00         |
| 64924    | UBS AG - SMIC R Bull CBBC Feb 2021 C            | 100,000,000  | 2020/06/30 | 2021/02/24 | 25.00          |
| 64874    | UBS AG - SMIC R Bear CBBC Feb 2021 C            | 100,000,000  | 2020/06/30 | 2021/02/26 | 25.00          |
| 64884    | UBS AG - SMIC R Bear CBBC Mar 2021 B            | 100,000,000  | 2020/06/30 | 2021/03/31 | 25.00          |
| 64947    | UBS AG - Tencent R Bull CBBC Feb 2021 O         | 40,000,000   | 2020/06/30 | 2021/02/08 | 10.00          |
| 64960    | UBS AG - Tencent R Bull CBBC Feb 2021 P         | 40,000,000   | 2020/06/30 | 2021/02/22 | 10.00          |
| 64974    | UBS AG - Tencent R Bull CBBC Feb 2021 Q         | 200,000,000  | 2020/06/30 | 2021/02/25 | 50.00          |
| 64806    | UBS AG - Tencent R Bear CBBC Jan 2021 R         | 40,000,000   | 2020/06/30 | 2021/01/18 | 10.00          |
| 64818    | UBS AG - Tencent R Bear CBBC Mar 2021 C         | 40,000,000   | 2020/06/30 | 2021/03/01 | 10.00          |
| 64831    | UBS AG - Tencent R Bear CBBC Mar 2021 D         | 200,000,000  | 2020/06/30 | 2021/03/02 | 50.00          |
| 65237    | Bank Vontobel - AAC Tech R Bull CBBC Feb 2021 D | 40,000,000   | 2020/06/30 | 2021/02/19 | 10.00          |
| 65158    | Bank Vontobel - AIA R Bull CBBC Feb 2021 E      | 40,000,000   | 2020/06/30 | 2021/02/05 | 10.00          |
| 65337    | Bank Vontobel - HKEX R Bull CBBC Feb 2021 C     | 40,000,000   | 2020/06/30 | 2021/02/19 | 10.00          |
| 65188    | Bank Vontobel - HSI N Bull CBBC Mar 2023 G      | 40,000,000   | 2020/06/30 | 2023/03/30 | 10.00          |
| 65159    | Bank Vontobel - HSI R Bear CBBC Jan 2021 D      | 80,000,000   | 2020/06/30 | 2021/01/28 | 20.00          |
| 65238    | Bank Vontobel - Tencent R Bull CBBC Mar 2021 C  | 80,000,000   | 2020/06/30 | 2021/03/05 | 20.00          |
| 65271    | Bank Vontobel - Tencent R Bull CBBC Mar 2021 D  | 40,000,000   | 2020/06/30 | 2021/03/12 | 10.00          |
| 65307    | Bank Vontobel - Tencent R Bear CBBC Feb 2021 G  | 40,000,000   | 2020/06/30 | 2021/02/19 | 27.80          |
| 65324    | Bank Vontobel - Tencent R Bear CBBC Feb 2021 H  | 40,000,000   | 2020/06/30 | 2021/02/19 | 23.80          |
| 65333    | Bank Vontobel - Tencent R Bear CBBC Feb 2021 I  | 80,000,000   | 2020/06/30 | 2021/02/19 | 20.00          |
| 總額       |                                                 |              |            |            | 298,346.18     |

# 進一步發行

## 預託證券／股票掛鉤票據／非上市可交易股份交易統計

### 預託證券交易統計

|      |     | 發行數目 | 成交金額(百萬港元) |
|------|-----|------|------------|
| 2019 | 第2季 | 1    | 29.27      |
|      | 第3季 | 1    | 22.57      |
|      | 第4季 | 1    | 19.94      |
| 2020 | 第1季 | 1    | 23.21      |
|      | 第2季 | 1    | 15.49      |

### 股票掛鉤票據交易統計

|      |     | 發行數目 | 成交金額(百萬港元) |
|------|-----|------|------------|
| 2019 | 第2季 | -    | -          |
|      | 第3季 | -    | -          |
|      | 第4季 | -    | -          |
| 2020 | 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) |
|------|-----|------|------------|
| 2019 | 第2季 | 6    | 0.07       |
|      | 第3季 | 6    | 0.00       |
|      | 第4季 | 6    | 0.04       |
| 2020 | 第1季 | 6    | 0.01       |
|      | 第2季 | 6    | 0.01       |

### iShares 股份交易統計

|      |     | 發行數目 | 成交金額(百萬港元) |
|------|-----|------|------------|
| 2019 | 第1季 | -    | -          |
|      | 第2季 | -    | -          |
|      | 第3季 | -    | -          |
| 2020 | 第1季 | -    | -          |
|      | 第2季 | -    | -          |



# GEM 股份

## 股份成交－GEM

|      |     | 股數(百萬股)   | 金額(百萬港元)  | 成交宗數    |
|------|-----|-----------|-----------|---------|
| 2019 | 第2季 | 54,134.73 | 14,094.16 | 665,926 |
|      | 第3季 | 41,935.73 | 9,838.81  | 478,917 |
|      | 第4季 | 43,140.55 | 10,677.20 | 567,374 |
| 2020 | 第1季 | 42,596.35 | 16,306.86 | 565,905 |
|      | 第2季 | 45,485.20 | 15,660.56 | 492,227 |

## GEM 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 |
|------|-----|------|--------------------|----------------|
| 2019 | 第2季 | 59   | 238.88             | 21,165         |
|      | 第3季 | 65   | 151.37             | 20,544         |
|      | 第4季 | 62   | 172.21             | 18,819         |
| 2020 | 第1季 | 62   | 263.01             | 28,816         |
|      | 第2季 | 60   | 261.01             | 31,816         |

## 20種升幅最大之GEM股份

2020年第2季

| 順次 | 股份代號  | 股份        | 收市價      |          | 跌幅     |
|----|-------|-----------|----------|----------|--------|
|    |       |           | 2020年6月底 | 2020年3月底 |        |
| 1  | 08360 | 利駿集團香港    | 0.122    | 0.037    | 229.73 |
| 2  | 08401 | 源想集團      | 1.500    | 0.600    | 150.00 |
| 3  | 08001 | 東方匯財證券    | 0.170    | 0.070    | 142.86 |
| 4  | 08220 | 比高集團      | 0.083    | 0.035    | 137.14 |
| 5  | 08155 | 南華資產控股    | 0.022    | 0.010    | 120.00 |
| 6  | 08011 | 百田石油      | 0.139    | 0.072    | 93.06  |
| 7  | 08471 | 新達控股      | 0.355    | 0.190    | 86.84  |
| 8  | 08606 | 捷冠控股      | 0.115    | 0.062    | 85.48  |
| 9  | 08086 | 新維國際控股    | 0.063    | 0.035    | 80.00  |
| 10 | 08371 | 嚙高美集團     | 1.270    | 0.730    | 73.97  |
| 11 | 08519 | JIA GROUP | 0.103    | 0.060    | 71.67  |
| 12 | 08166 | 中國農業生態    | 0.054    | 0.032    | 68.75  |
| 13 | 08083 | 中國有贊      | 1.280    | 0.770    | 66.23  |
| 14 | 08237 | 華星控股      | 0.038    | 0.023    | 65.22  |
| 15 | 08279 | 亞博科技控股    | 0.375    | 0.229    | 63.76  |
| 16 | 08249 | 瑞遠智控      | 0.180    | 0.110    | 63.64  |
| 17 | 08395 | 齊家控股      | 0.100    | 0.062    | 61.29  |
| 18 | 08226 | 樹熊金融集團    | 0.027    | 0.017    | 58.82  |
| 19 | 08031 | 易通訊集團     | 0.495    | 0.320    | 54.69  |
| 20 | 08297 | 芭迪貝伊      | 0.200    | 0.130    | 53.85  |

A 經調整

## 20種跌幅最大之GEM股份

2020年第2季

| 順次 | 股份代號  | 股份        | 收市價      |          | 跌幅     |
|----|-------|-----------|----------|----------|--------|
|    |       |           | 2020年6月底 | 2020年3月底 |        |
| 1  | 08612 | 維亮控股      | 0.064    | 1.270    | -94.96 |
| 2  | 08631 | 申港控股      | 0.131    | 0.800    | -83.63 |
| 3  | 08163 | 領智金融      | 0.020    | 0.106 A  | -81.13 |
| 4  | 08491 | COOL LINK | 0.300    | 1.570    | -80.89 |
| 5  | 08242 | 新威斯頓      | 0.017    | 0.064    | -73.44 |
| 6  | 08427 | 瑞強集團      | 0.078    | 0.197    | -60.41 |
| 7  | 08041 | 薈萃國際(控股)  | 0.025    | 0.062    | -59.68 |
| 8  | 08521 | 智紡國際控股    | 0.228    | 0.530    | -56.98 |
| 9  | 08103 | HMVOD視頻   | 0.068    | 0.158    | -56.96 |
| 10 | 08057 | 麥迪森控股     | 0.086    | 0.187    | -54.01 |
| 11 | 08315 | 長城匯理      | 0.059    | 0.128    | -53.91 |
| 12 | 08055 | 中國網絡信息科技  | 0.019    | 0.041    | -53.66 |
| 13 | 08460 | 基地錦標集團    | 0.059    | 0.124    | -52.42 |
| 14 | 08277 | 駿東控股      | 0.114    | 0.230    | -50.43 |
| 15 | 08603 | 亮晴控股      | 0.220    | 0.435    | -49.43 |
| 16 | 08023 | 鄭文記       | 0.238    | 0.470    | -49.36 |
| 17 | 08269 | 富譽控股      | 0.095    | 0.186    | -48.92 |
| 18 | 08087 | 中國三三傳媒    | 0.089    | 0.170 A  | -47.65 |
| 19 | 08341 | 艾碩控股      | 0.138    | 0.260    | -46.92 |
| 20 | 08480 | 飛霓控股      | 0.570    | 1.070    | -46.73 |

A 經調整

# GEM 股份

## 20種成交最活躍GEM股份(金額)

2020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  | 08083 | 中國有贊           | 8,606.76   | 54.96  |
| 2  | 08631 | 申港控股           | 658.37     | 4.20   |
| 3  | 08491 | COOL LINK      | 460.46     | 2.94   |
| 4  | 08616 | 新威工程集團         | 399.44     | 2.55   |
| 5  | 08140 | 人和科技           | 273.13     | 1.74   |
| 6  | 08612 | 維亮控股           | 272.82     | 1.74   |
| 7  | 08620 | 亞洲速運           | 243.89     | 1.56   |
| 8  | 08225 | 中國醫療集團         | 181.77     | 1.16   |
| 9  | 08516 | 廣駿集團控股         | 169.94     | 1.09   |
| 10 | 08228 | 國藝娛樂           | 148.86     | 0.95   |
| 11 | 08279 | 亞博科技控股         | 137.95     | 0.88   |
| 12 | 08487 | ISP GLOBAL     | 132.54     | 0.85   |
| 13 | 08069 | 縱橫遊控股          | 125.66     | 0.80   |
| 14 | 08295 | 中植資本國際         | 123.83     | 0.79   |
| 15 | 08163 | 領智金融           | 121.99     | 0.78   |
| 16 | 08496 | 新加坡美食控股        | 115.01     | 0.73   |
| 17 | 08619 | WAC HOLDINGS   | 113.12     | 0.72   |
| 18 | 08513 | 官醞控股           | 109.35     | 0.70   |
| 19 | 08373 | 靛藍星            | 100.41     | 0.64   |
| 20 | 08536 | TL NATURAL GAS | 91.13      | 0.58   |
| 總額 |       |                | 12,586.43  | 80.37  |

# GEM 股份

## 20種成交最活躍GEM股份(股數)

2020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  | 08083 | 中國有贊           | 9,671.24  | 21.26  |
| 2  | 08163 | 領智金融           | 2,032.11  | 4.47   |
| 3  | 08086 | 新維國際控股         | 1,302.81  | 2.86   |
| 4  | 08612 | 維亮控股           | 1,270.00  | 2.79   |
| 5  | 08133 | 鑄能控股           | 1,253.67  | 2.76   |
| 6  | 08250 | 絲路能源           | 1,040.42  | 2.29   |
| 7  | 08631 | 申港控股           | 1,024.79  | 2.25   |
| 8  | 08153 | 法諾集團           | 943.31    | 2.07   |
| 9  | 08007 | 環球戰略集團         | 943.17    | 2.07   |
| 10 | 08228 | 國藝娛樂           | 889.07    | 1.95   |
| 11 | 08616 | 新威工程集團         | 801.03    | 1.76   |
| 12 | 08242 | 新威斯頓           | 689.27    | 1.52   |
| 13 | 08620 | 亞洲速運           | 655.46    | 1.44   |
| 14 | 08536 | TL NATURAL GAS | 646.25    | 1.42   |
| 15 | 08491 | COOL LINK      | 642.44    | 1.41   |
| 16 | 08148 | 奧栢中國           | 613.24    | 1.35   |
| 17 | 08320 | 沛然環保           | 597.85    | 1.31   |
| 18 | 08101 | 壹家壹品           | 473.31    | 1.04   |
| 19 | 08055 | 中國網絡信息科技       | 470.63    | 1.03   |
| 20 | 08147 | 匯思太平洋          | 445.75    | 0.98   |
| 總數 |       |                | 26,405.82 | 58.05  |

# GEM 股份

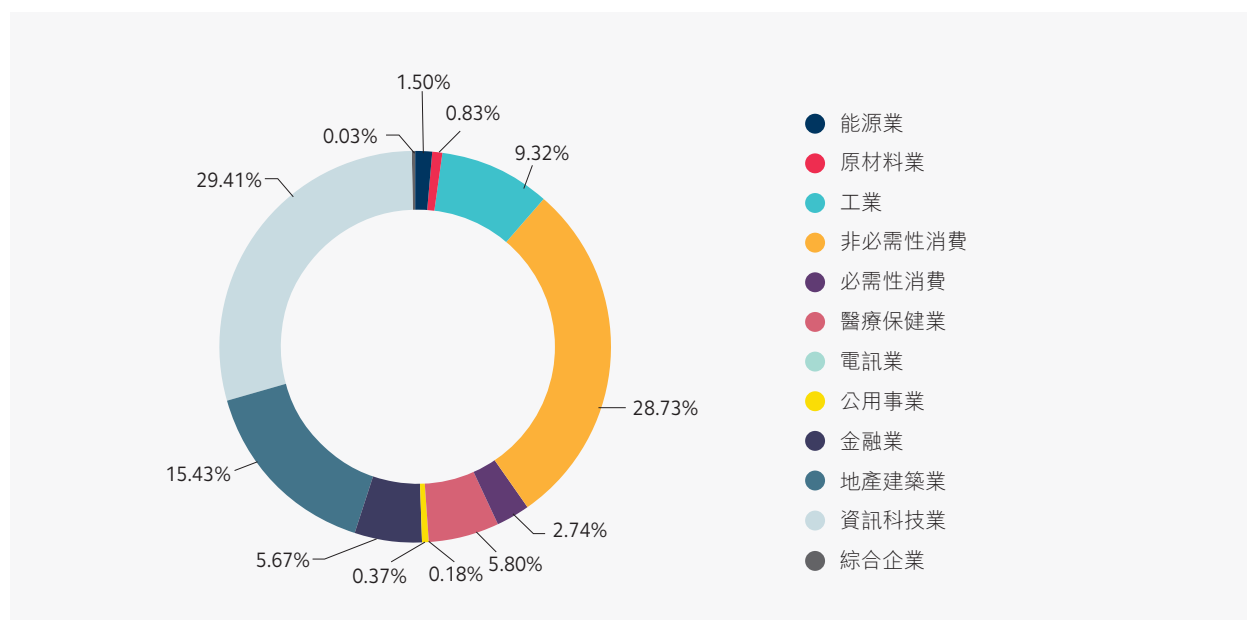
## GEM 公司市價總值

截至季末

|      |       | 百 萬 港 元    |
|------|-------|------------|
| 2019 | 第 2 季 | 134,992.16 |
|      | 第 3 季 | 121,267.37 |
|      | 第 4 季 | 106,699.32 |
| 2020 | 第 1 季 | 95,524.29  |
|      | 第 2 季 | 102,733.62 |

## 恒生行業分類系統之證券市價總值\*－GEM

季末數字



\* 行業分類由恒生指數有限公司提供。

註：新的恒生行業分類系統於2019年9月9日生效。

## 50間市價總值最大之上市公司－GEM

截至2020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    | 08083 | 中國有贊有限公司                | 21,997.83  | 21.41    |
| 2    | 08279 | 亞博科技控股有限公司              | 4,377.13   | 4.26     |
| 3    | 08032 | 非凡中國控股有限公司              | 4,121.91   | 4.01     |
| 4    | 08137 | 洪橋集團有限公司                | 2,759.27   | 2.69     |
| 5    | 08516 | 廣駿集團控股有限公司              | 2,476.80   | 2.41     |
| 6    | 08295 | 中植資本國際有限公司              | 2,378.83   | 2.32     |
| 7    | 08619 | WAC Holdings Ltd.       | 1,900.80   | 1.85     |
| 8    | 08053 | 比優集團控股有限公司              | 1,352.32   | 1.32     |
| 9    | 08170 | 中國全民國際控股集團有限公司          | 1,295.28   | 1.26     |
| 10   | 08037 | 中國生物科技服務控股有限公司          | 1,260.75   | 1.23     |
| 11   | 08167 | 中國新電信集團有限公司             | 1,123.62   | 1.09     |
| 12   | 08227 | 西安海天天綫科技股份有限公司－H股       | 1,078.43   | 1.05     |
| 13   | 08246 | 中華燃氣控股有限公司              | 1,011.40   | 0.98     |
| 14   | 08228 | 國藝娛樂文化集團有限公司            | 915.41     | 0.89     |
| 15   | 08026 | 朗華國際集團有限公司              | 856.95     | 0.83     |
| 16   | 08047 | 中國海洋集團發展有限公司            | 840.97     | 0.82     |
| 17   | 08156 | 國藥科技股份有限公司              | 823.63     | 0.80     |
| 18   | 08418 | 傲迪瑪汽車集團控股有限公司           | 816.00     | 0.79     |
| 19   | 08487 | ISP Global Ltd.         | 808.00     | 0.79     |
| 20   | 08140 | 人和科技控股有限公司              | 792.00     | 0.77     |
| 21   | 08308 | 古兜控股有限公司                | 784.00     | 0.76     |
| 22   | 08225 | 中國醫療集團有限公司              | 764.43     | 0.74     |
| 23   | 08176 | 超人智能有限公司                | 718.83     | 0.70     |
| 24   | 08328 | 信義汽車玻璃香港企業有限公司          | 712.95     | 0.69     |
| 25   | 08363 | SDM Group Holdings Ltd. | 709.04     | 0.69     |
| 26   | 08039 | 中國卓銀國際控股有限公司            | 627.00     | 0.61     |
| 27   | 08425 | 興銘控股有限公司                | 616.00     | 0.60     |
| 28   | 08413 | 亞洲雜貨有限公司                | 615.86     | 0.60     |
| 29   | 08082 | 太陽娛樂集團有限公司              | 612.89     | 0.60     |
| 30   | 08005 | 裕興科技投資控股有限公司            | 601.20     | 0.59     |
| 31   | 08313 | 杰地集團有限公司                | 590.00     | 0.57     |
| 32   | 08616 | 新威工程集團有限公司              | 550.00     | 0.54     |
| 33   | 08479 | 金泰豐國際控股有限公司             | 530.10     | 0.52     |
| 34   | 08283 | 正力控股有限公司                | 520.00     | 0.51     |
| 35   | 08069 | 縱橫遊控股有限公司               | 496.00     | 0.48     |
| 36   | 08371 | 嚙•高美集團有限公司              | 482.26     | 0.47     |
| 37   | 08441 | 國際永勝集團控股有限公司            | 480.00     | 0.47     |
| 38   | 08496 | 新加坡美食控股有限公司             | 468.00     | 0.46     |
| 39   | 08223 | 紫元元控股集團有限公司             | 464.00     | 0.45     |
| 40   | 08021 | 匯隆控股有限公司                | 459.75     | 0.45     |
| 41   | 08172 | 拉近網娛集團有限公司              | 454.59     | 0.44     |
| 42   | 08057 | 麥迪森控股集團有限公司             | 446.57     | 0.43     |
| 43   | 08513 | 官醞控股有限公司                | 427.80     | 0.42     |
| 44   | 08130 | 大地國際集團有限公司              | 427.79     | 0.42     |
| 45   | 08171 | 中國趨勢控股有限公司              | 427.16     | 0.42     |
| 46   | 08105 | 皇崑國際教育企業集團有限公司          | 424.00     | 0.41     |
| 47   | 08011 | 百田石油國際集團有限公司            | 408.32     | 0.40     |
| 48   | 08029 | 太陽國際集團有限公司              | 397.43     | 0.39     |
| 49   | 08158 | 中國再生醫學國際有限公司            | 391.66     | 0.38     |
| 50   | 08178 | 中國信息科技發展有限公司            | 356.14     | 0.35     |
| 總值   |       |                         | 68,951.09  | 67.12    |
| 市場總值 |       |                         | 102,733.62 | 100.00   |



## 新上市統計－GEM 公司

|      |     | 新上市公司數目 | 集資金額(百萬港元) |
|------|-----|---------|------------|
| 2019 | 第2季 | 1       | 53.00      |
|      | 第3季 | 2       | 154.50     |
|      | 第4季 | 7       | 414.00     |
| 2020 | 第1季 | 2       | 120.30     |
|      | 第2季 | 3       | 174.00     |

## GEM新上市公司

2020年第2季

| 股份代號  | 公司           | 上市日期       | 已發行股數         | 集資金額<br>(百萬港元) |
|-------|--------------|------------|---------------|----------------|
| 08620 | 亞洲速運物流控股有限公司 | 2020/04/20 | 480,000,000   | 60.00          |
| 08616 | 新威工程集團有限公司   | 2020/04/23 | 1,000,000,000 | 60.00          |
| 08496 | 新加坡美食控股有限公司  | 2020/05/18 | 240,000,000   | 54.00          |
| 總額    |              |            |               | 174.00         |

## 除牌上市公司－GEM

2020年第2季

| 股份代號  | 公司             | 最後買賣日期     | 除牌日期         |
|-------|----------------|------------|--------------|
| 08470 | 瑩嵐集團有限公司*      | 2020/04/17 | 2020/04/20 § |
| 08243 | 大賀傳媒股份有限公司－H股  | 2019/03/29 | 2020/05/25   |
| 08376 | 方圓房地產服務集團有限公司* | 2020/05/27 | 2020/05/28 § |
| 08421 | 永順控股香港有限公司*    | 2020/06/10 | 2020/06/11 § |

\* 原為GEM上市公司,後引用於2008年7月1日生效的《GEM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GEM轉至主板的轉板生效日期。

# GEM 股份

## GEM 公司名稱更改

2020 年第 2 季

| 股份代號  | 原有名稱         | 新名稱          | 生效日期       | 採用日期       |
|-------|--------------|--------------|------------|------------|
| 08153 | 科地農業控股有限公司   | 法諾集團控股有限公司   | 2020/04/28 | 2020/06/01 |
| 08047 | 中國海洋捕撈控股有限公司 | 中國海洋集團發展有限公司 | 2020/04/23 | 2020/06/02 |

## GEM 紅股／紅利認股權證

2020 年第 2 季

| 股份代號 | 公司 | 詳情 | 除淨日 |
|------|----|----|-----|
| 無    |    |    |     |

## GEM 股份拆細及合併

2020 年第 2 季

| 股份代號  | 公司           | 詳情          | 生效日期       |
|-------|--------------|-------------|------------|
| 08239 | 首都金融控股有限公司   | 5 股合併為 1 股  | 2020/04/08 |
| 08291 | 萬成金屬包裝有限公司   | 5 股合併為 1 股  | 2020/04/15 |
| 08198 | 樂透互娛有限公司     | 10 股合併為 1 股 | 2020/05/28 |
| 08112 | 基石金融控股有限公司   | 20 股合併為 1 股 | 2020/06/05 |
| 08087 | 中國三三傳媒集團有限公司 | 10 股合併為 1 股 | 2020/06/10 |

## GEM 供股／公開售股

2020 年第 2 季

| 月份  | 股份代號  | 公司         | 比率                    | 集資金額<br>(百萬港元) |
|-----|-------|------------|-----------------------|----------------|
| 6 月 | 08377 | 申酉控股有限公司   | 股權 2 供 1，每股供 0.043 港元 | 17.20          |
|     | 08163 | 領智金融集團有限公司 | 股權 1 供 4，每股供 0.11 港元  | 115.37         |
| 總額  |       |            |                       | 132.57         |

# GEM 股份

## 股份配售\*

| 月份   | 股份代號  | 公司     | 配售股份數目        | 配售價<br>(港元) | 集資金額<br>(百萬港元) |
|------|-------|--------|---------------|-------------|----------------|
| 2020 |       |        |               |             |                |
| 4月   | 08083 | 中國有贊   | 1,240,000,000 | 0.6400      | 793.60         |
|      | 08147 | 匯思太平洋  | 138,864,000   | 0.1000      | 13.89          |
| 5月   | 08158 | 中國再生醫學 | 500,000,000   | 0.2000      | 100.00         |
|      | 08007 | 環球戰略集團 | 260,000,000   | 0.0290      | 7.54           |
|      | 08003 | 世大控股   | 473,780,000   | 0.0210      | 9.95           |
|      | 08109 | 麒麟集團控股 | 26,900,000    | 0.3000      | 8.07           |
|      | 08471 | 新達控股   | 50,000,000    | 0.1130      | 5.65           |
|      | 08072 | 羅馬集團   | 27,000,000    | 0.2100      | 5.67           |
|      | 08086 | 新維國際控股 | 613,208,000   | 0.0350      | 21.46          |
|      | 08427 | 瑞強集團   | 68,200,000    | 0.1250      | 8.53           |
|      |       |        |               |             |                |
| 6月   | 08320 | 沛然環保   | 120,000,000   | 0.0520      | 6.24           |
|      | 08159 | 輝煌科技   | 64,000,000    | 0.1000      | 6.40           |
|      | 08109 | 麒麟集團控股 | 7,755,000     | 0.2718      | 2.11           |
|      | 08109 | 麒麟集團控股 | 4,050,000     | 0.2723      | 1.10           |
|      | 08109 | 麒麟集團控股 | 4,155,000     | 0.2711      | 1.13           |
| 總額   |       |        |               |             | 991.33         |

\* 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。

# GEM 認股權證

## 認股權證交易及市價總值統計 – GEM

|      |     | 數目 | 成交金額(百萬港元) | 市價總值(百萬港元) |
|------|-----|----|------------|------------|
| 2019 | 第2季 | 1  | 0.00       | 62.83      |
|      | 第3季 | 1  | 0.00       | 62.83      |
|      | 第4季 | 1  | 0.00       | 62.83      |
| 2020 | 第1季 | 1  | 0.01       | 62.83      |
|      | 第2季 | 1  | 0.00       | 62.83      |

## GEM新上市股份認股權證

2020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) |
|----------|--------|------------------|------|-----|----------------|
| 無        |        |                  |      |     |                |
| 總額       |        |                  |      |     | —              |

# 股票市場指數

## 恒生指數



## 標準普爾／香港交易所大型股指數



## 標準普爾／香港交易所GEM指數



# 股票市場指數

## 香港股市指數

| 指數              | 2020年6月底<br>收市 | 2020年3月底<br>收市 | 升跌       |
|-----------------|----------------|----------------|----------|
| 標準普爾／香港交易所大型股指數 | 36309.38       | 32419.21       | + 12.00% |
| 標準普爾／香港交易所GEM指數 | 94.88          | 78.65          | + 20.64% |
| 恒生指數            | 24427.19       | 23603.48       | + 3.49%  |
| 分類指數            |                |                |          |
| 金融              | 32531.07       | 32891.08       | - 1.09%  |
| 公用事業            | 47337.76       | 47357.89       | - 0.04%  |
| 地產              | 32174.52       | 31910.00       | + 0.83%  |
| 工商業             | 15320.07       | 13708.48       | + 11.76% |
| 恒生香港中資企業指數      | 3756.57        | 3592.11        | + 4.58%  |
| 恒生中國企業指數        | 9758.63        | 9594.77        | + 1.71%  |



# 股票市場指數

## 世界指數

| 指數              | 2020年6月底<br>收市 | 2020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 | 36309.38       | 32419.21       | + 12.00% |
| 恒生指數            | 24427.19       | 23603.48       | + 3.49%  |
| 澳洲              |                |                |          |
| 普通股指數           | 6001.30        | 5110.60        | + 17.43% |
| 雅加達             |                |                |          |
| 綜合指數            | 4905.39        | 4538.93        | + 8.07%  |
| 日本              |                |                |          |
| 日經指數(225)       | 22288.14       | 18917.01       | + 17.82% |
| 韓國              |                |                |          |
| 綜合指數            | 2108.33        | 1754.64        | + 20.16% |
| 吉隆坡             |                |                |          |
| 綜合指數            | 1500.97        | 1350.89        | + 11.11% |
| 馬尼拉             |                |                |          |
| 綜合指數            | 6207.72        | 5321.23        | + 16.66% |
| 紐西蘭             |                |                |          |
| 證交所指數(50)       | 11451.05       | 9796.75        | + 16.89% |
| 上海              |                |                |          |
| A股指數            | 3128.45        | 2882.25        | + 8.54%  |
| B股指數            | 213.45         | 216.00         | - 1.18%  |
| 深圳              |                |                |          |
| A股指數            | 2067.44        | 1743.13        | + 18.61% |
| B股指數            | 872.71         | 812.17         | + 7.45%  |
| 新加坡             |                |                |          |
| 海峽時報指數          | 2589.91        | 2481.23        | + 4.38%  |
| 台灣              |                |                |          |
| 台北加權股份指數        | 11621.24       | 9708.06        | + 19.71% |
| 泰國              |                |                |          |
| SET指數           | 1339.03        | 1125.86        | + 18.93% |
| 紐約              |                |                |          |
| 杜瓊斯工業平均指數       | 25812.88       | 21917.16       | + 17.77% |
| Nasdaq綜合指數      | 10058.77       | 7700.10        | + 30.63% |
| 多倫多             |                |                |          |
| S&P/TSX綜合指數     | 15515.22       | 13378.75       | + 15.97% |
| 德國              |                |                |          |
| DAX Kursindex   | 5357.17        | 4416.97        | + 21.29% |
| 倫敦              |                |                |          |
| 金融時報100指數       | 6169.74        | 5671.96        | + 8.78%  |

# 衍生產品市場 期貨及期權

## 合約成交量

| 衍生產品                                 | 合約張數       |            |
|--------------------------------------|------------|------------|
|                                      | 2020年第2季   | 2019年第2季   |
| 恒生指數期貨                               | 9,692,902  | 13,860,691 |
| 恒生指數期權                               | 2,239,280  | 3,115,323  |
| 每周恒生指數期權 <sup>1</sup>                | 230,000    | -          |
| 小型恒生指數期貨                             | 7,041,426  | 5,779,500  |
| 小型恒生指數期權                             | 718,063    | 789,156    |
| 恒生指數(總股息累計指數)期貨                      | 75         | 72         |
| 恒生指數(淨股息累計指數)期貨                      | 44         | 46         |
| 恒生中國企業指數期貨                           | 8,108,128  | 8,895,438  |
| 恒生中國企業指數期權                           | 4,918,652  | 5,610,217  |
| 每周恒生中國企業指數期權 <sup>2</sup>            | 61,524     | -          |
| 小型恒生中國企業指數期貨                         | 1,098,120  | 984,154    |
| 小型恒生中國企業指數期權                         | 92,107     | 156,496    |
| 恒生中國企業指數(總股息累計指數)期貨                  | 58         | 10         |
| 恒生中國企業指數(淨股息累計指數)期貨                  | 6          | 10         |
| 自訂條款恒生指數期權                           | 0          | 0          |
| 自訂條款恒生中國企業指數期權                       | 0          | 0          |
| 恒指股息點指數期貨                            | 1,470      | 3,310      |
| 恒生國企股息點指數期貨                          | 90,650     | 133,285    |
| 恒指波幅指數期貨                             | 7          | 16         |
| MSCI亞洲除日本淨總回報指數期貨                    | 39,885     | 62,795     |
| 中華交易服務中國120指數期貨                      | 1          | 10         |
| 中華交易服務博彩業指數期貨 <sup>3</sup>           | -          | 6          |
| 恒生中國內地石油及天然氣指數期貨                     | 4,642      | 10,754     |
| 恒生中國內地銀行指數期貨                         | 134        | 5,870      |
| 恒生中國內地醫療保健指數期貨 <sup>4</sup>          | -          | 0          |
| 恒生中國內地地產指數期貨                         | 97         | 5,024      |
| 恒生資訊科技器材指數期貨 <sup>5</sup>            | -          | 0          |
| 恒生軟件服務指數期貨 <sup>6</sup>              | -          | 6          |
| IBOVESPA期貨                           | 0          | 0          |
| MICEX指數期貨                            | 0          | 0          |
| FTSE/JSE Top40期貨                     | 0          | 0          |
| 股票期貨                                 | 200,735    | 269,826    |
| 股票期權                                 | 27,914,168 | 28,792,732 |
| 三個月港元利率期貨                            | 93         | 5          |
| 一個月港元利率期貨                            | 14         | 22         |
| 人民幣貨幣期貨—美元兌人民幣(香港)期貨                 | 348,454    | 528,249    |
| 人民幣貨幣期權—美元兌人民幣(香港)期權                 | 2,138      | 4,727      |
| 人民幣貨幣期貨—歐元兌人民幣(香港)期貨                 | 100        | 5,327      |
| 人民幣貨幣期貨—日圓兌人民幣(香港)期貨                 | 69         | 2,539      |
| 人民幣貨幣期貨—澳元兌人民幣(香港)期貨                 | 336        | 4,306      |
| 人民幣貨幣期貨—人民幣(香港)兌美元期貨                 | 1,187      | 2,817      |
| 印度盧比貨幣期貨—印度盧比兌美元期貨 <sup>7</sup>      | 29,678     | -          |
| 印度盧比貨幣期貨—印度盧比兌人民幣(香港)期貨 <sup>8</sup> | 0          | -          |
| 美元黃金期貨                               | 993        | 128,869    |
| 人民幣(香港)黃金期貨                          | 17         | 29,152     |
| 美元白銀期貨 <sup>9</sup>                  | 147        | -          |
| 人民幣(香港)白銀期貨 <sup>10</sup>            | 0          | -          |
| 鐵礦石期貨—月度合約                           | 24,892     | 7,497      |
| 鐵礦石期貨—季度合約                           | 0          | 0          |
| 人民幣(香港)倫敦鋁期貨小型合約                     | 2          | 4          |
| 人民幣(香港)倫敦鋅期貨小型合約                     | 0          | 70         |
| 人民幣(香港)倫敦銅期貨小型合約                     | 0          | 0          |
| 人民幣(香港)倫敦鉛期貨小型合約                     | 0          | 0          |
| 人民幣(香港)倫敦鎳期貨小型合約                     | 0          | 8          |
| 人民幣(香港)倫敦錫期貨小型合約                     | 0          | 0          |
| 美元倫敦鋁期貨小型合約 <sup>11</sup>            | 6,577      | -          |
| 美元倫敦鋅期貨小型合約 <sup>12</sup>            | 12,694     | -          |
| 美元倫敦銅期貨小型合約 <sup>13</sup>            | 8,903      | -          |
| 美元倫敦鉛期貨小型合約 <sup>14</sup>            | 0          | -          |
| 美元倫敦鎳期貨小型合約 <sup>15</sup>            | 955        | -          |
| 美元倫敦錫期貨小型合約 <sup>16</sup>            | 0          | -          |
| 總數                                   | 62,889,423 | 69,188,339 |

## 衍生產品市場 期貨及期權

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- 1 每周恒生指數期權由2019年9月16日開始買賣
- 2 每周恒生中國企業指數期權由2019年9月16日開始買賣
- 3 中華交易服務博彩業指數期貨由2019年12月30日停止買賣
- 4 恒生中國內地醫療保健指數期貨由2019年12月30日停止買賣
- 5 恒生資訊科技器材指數期貨由2019年12月30日停止買賣
- 6 恒生軟件服務指數期貨由2019年12月30日停止買賣
- 7 印度盧比貨幣期貨—印度盧比兌美元期貨由2019年11月04日開始買賣
- 8 印度盧比貨幣期貨—印度盧比兌人民幣(香港)期貨由2019年11月04日開始買賣
- 9 美元白銀期貨由2020年6月08日開始買賣
- 10 人民幣(香港)白銀期貨由2020年6月08日開始買賣
- 11 美元倫敦鋁期貨小型合約由2019年8月05日開始買賣
- 12 美元倫敦鋅期貨小型合約由2019年8月05日開始買賣
- 13 美元倫敦銅期貨小型合約由2019年8月05日開始買賣
- 14 美元倫敦鉛期貨小型合約由2019年8月05日開始買賣
- 15 美元倫敦鎳期貨小型合約由2019年8月05日開始買賣
- 16 美元倫敦錫期貨小型合約由2019年8月05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 |
|-------|-----|------------|---------|
| 2019年 | 第2季 | 13,860,691 | 132,110 |
|       | 第3季 | 13,100,989 | 133,241 |
|       | 第4季 | 11,035,508 | 121,237 |
| 2020年 | 第1季 | 13,049,566 | 117,709 |
|       | 第2季 | 9,692,902  | 129,015 |

### 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 |
|-------|-----|-----------|---------|
| 2019年 | 第2季 | 5,779,500 | 12,239  |
|       | 第3季 | 5,815,157 | 11,387  |
|       | 第4季 | 4,934,747 | 10,635  |
| 2020年 | 第1季 | 8,418,103 | 10,373  |
|       | 第2季 | 7,041,426 | 10,523  |

### 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 |
|-------|-----|-----------|---------|
| 2019年 | 第2季 | 3,115,323 | 260,915 |
|       | 第3季 | 3,597,803 | 304,858 |
|       | 第4季 | 2,775,579 | 210,101 |
| 2020年 | 第1季 | 3,387,206 | 289,561 |
|       | 第2季 | 2,239,280 | 235,160 |

### 恒生中國企業指數期貨－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 |
|-------|-----|------------|---------|
| 2019年 | 第2季 | 8,895,438  | 330,487 |
|       | 第3季 | 8,483,368  | 346,178 |
|       | 第4季 | 7,880,717  | 325,907 |
| 2020年 | 第1季 | 11,318,866 | 344,099 |
|       | 第2季 | 8,108,128  | 350,634 |

### 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   |
|-------|-----|-----------------|------------|-----------|
| 2019年 | 第2季 | 22,663.96       | 28,792,732 | 7,893,237 |
|       | 第3季 | 16,676.00       | 24,894,853 | 7,626,463 |
|       | 第4季 | 17,177.74       | 23,442,562 | 6,702,538 |
| 2020年 | 第1季 | 33,438.78       | 33,313,232 | 8,420,294 |
|       | 第2季 | 31,172.08       | 27,914,168 | 7,904,587 |

## 衍生產品市場 期貨及期權

### 各期權類別之期權金總額

2020年第2季

| 期權類別     |     | 期權金額<br>(百萬港元) | 佔市場百分比 |
|----------|-----|----------------|--------|
| 安碩 A50   | A50 | 52.16          | 0.17   |
| 瑞聲科技     | AAC | 221.46         | 0.71   |
| 海螺水泥     | ACC | 110.07         | 0.35   |
| 友邦保險     | AIA | 996.05         | 3.20   |
| 中國國航     | AIR | 12.96          | 0.04   |
| 阿里巴巴     | ALB | 4,277.91       | 13.72  |
| 中國鋁業     | ALC | 1.88           | 0.01   |
| 華夏滬深三百   | AMC | 114.49         | 0.37   |
| 安踏體育     | ANA | 73.47          | 0.24   |
| 交通銀行     | BCM | 6.66           | 0.02   |
| 東亞銀行     | BEA | 7.32           | 0.02   |
| 中銀香港     | BOC | 60.25          | 0.19   |
| 百威亞太     | BUD | 30.13          | 0.10   |
| 比亞迪股份    | BYD | 92.92          | 0.30   |
| 中國交通建設   | CCC | 14.67          | 0.05   |
| 中煤能源     | CCE | 1.10           | 0.00   |
| 中國信達     | CDA | 3.49           | 0.01   |
| 中廣核電力    | CGN | 1.00           | 0.00   |
| 中國移動     | CHT | 455.96         | 1.46   |
| 中國聯通     | CHU | 27.25          | 0.09   |
| 中信股份     | CIT | 16.79          | 0.05   |
| 長和       | CKH | 137.76         | 0.44   |
| 長實集團     | CKP | 97.99          | 0.31   |
| 中國人壽     | CLI | 404.49         | 1.30   |
| 中電控股     | CLP | 66.80          | 0.21   |
| 招商銀行     | CMB | 103.00         | 0.33   |
| 中國海洋石油   | CNC | 356.25         | 1.14   |
| 碧桂園      | COG | 66.96          | 0.21   |
| 中國海外發展   | COL | 84.72          | 0.27   |
| 國泰航空     | CPA | 4.52           | 0.01   |
| 中國石油化工股份 | CPC | 136.24         | 0.44   |
| 中國太保     | CPI | 108.30         | 0.35   |
| 中國鐵建     | CRC | 3.48           | 0.01   |
| 中國中鐵     | CRG | 2.15           | 0.01   |
| 華潤置地     | CRL | 86.68          | 0.28   |
| 南方 A50   | CSA | 71.70          | 0.23   |
| 中國神華     | CSE | 50.21          | 0.16   |
| 石藥集團     | CSP | 93.44          | 0.30   |
| 中信銀行     | CTB | 4.85           | 0.02   |
| 中國電信     | CTC | 4.78           | 0.02   |
| 中信証券     | CTS | 72.86          | 0.23   |
| 東風集團股份   | DFM | 4.86           | 0.02   |
| 中國恒大     | EVG | 78.94          | 0.25   |
| 廣汽集團     | GAC | 12.31          | 0.04   |
| 吉利汽車     | GAH | 160.19         | 0.51   |
| 銀河娛樂     | GLX | 369.45         | 1.19   |
| 長城汽車     | GWM | 15.25          | 0.05   |
| 海通證券     | HAI | 29.48          | 0.09   |
| 恒生中國企業   | HCF | 53.47          | 0.17   |
| 電能實業     | HEH | 30.94          | 0.10   |
| 香港交易所    | HEX | 1,823.50       | 5.85   |
| 恒安國際     | HGN | 34.12          | 0.11   |
| 匯豐控股     | HKB | 1,201.95       | 3.86   |
| 香港中華煤氣   | HKG | 22.86          | 0.07   |
| 恒基地產     | HLD | 32.06          | 0.10   |
| 華能國際電力股份 | HNP | 3.82           | 0.01   |
| 恒生銀行     | HSB | 107.69         | 0.35   |
| 京東集團     | JDC | 54.49          | 0.17   |
| 江西銅業股份   | JXC | 8.07           | 0.03   |

## 衍生產品市場 期貨及期權

| 期權類別     |     | 期權金額<br>(百萬港元) | 佔市場百分比 |
|----------|-----|----------------|--------|
| 昆侖能源     | KLE | 11.13          | 0.04   |
| 金山軟件     | KSO | 130.12         | 0.42   |
| 聯想集團     | LEN | 24.65          | 0.08   |
| 利豐       | LIF | 0.06           | 0.00   |
| 領展房產基金   | LNK | 187.03         | 0.60   |
| 蒙牛乳業     | MEN | 36.67          | 0.12   |
| 美團點評-W   | MET | 3,273.70       | 10.50  |
| 美高梅中國    | MGM | 1.10           | 0.00   |
| 小米集團-W   | MIU | 624.16         | 2.00   |
| 民生銀行     | MSB | 14.15          | 0.05   |
| 港鐵公司     | MTR | 37.70          | 0.12   |
| 中國建材     | NBM | 48.99          | 0.16   |
| 新華保險     | NCL | 60.00          | 0.19   |
| 網易       | NTE | 123.14         | 0.40   |
| 新世界發展    | NWD | 22.54          | 0.07   |
| 中國平安     | PAI | 2,190.70       | 7.03   |
| 中國石油股份   | PEC | 79.98          | 0.26   |
| 中國財險     | PIC | 27.00          | 0.09   |
| 中國人民保險集團 | PIN | 2.34           | 0.01   |
| 富力地產     | RFP | 3.06           | 0.01   |
| 金沙中國有限公司 | SAN | 109.46         | 0.35   |
| 中國生物製藥   | SBO | 49.76          | 0.16   |
| 新鴻基地產    | SHK | 297.57         | 0.95   |
| 申洲國際     | SHZ | 21.21          | 0.07   |
| 舜宇光學科技   | SNO | 328.36         | 1.05   |
| 國藥控股     | SNP | 12.69          | 0.04   |
| 渣打集團     | STC | 2.32           | 0.01   |
| 融創中國     | SUN | 198.67         | 0.64   |
| 太古股份公司A  | SWA | 15.67          | 0.05   |
| 騰訊控股     | TCH | 9,910.76       | 31.79  |
| 創科實業     | TIC | 25.58          | 0.08   |
| 盈富基金     | TRF | 11.38          | 0.04   |
| 萬科企業     | VNK | 9.81           | 0.03   |
| 萬洲國際     | WHG | 7.51           | 0.02   |
| 九龍倉集團    | WHL | 3.38           | 0.01   |
| 中國旺旺     | WWC | 3.92           | 0.01   |
| 農業銀行     | XAB | 24.65          | 0.08   |
| 中國銀行     | XBC | 78.82          | 0.25   |
| 建設銀行     | XCC | 244.26         | 0.78   |
| 工商銀行     | XIC | 237.63         | 0.76   |
| 郵儲銀行     | XPB | 8.20           | 0.03   |
| 中國鐵塔     | XTW | 75.34          | 0.24   |
| 兗州煤業股份   | YZC | 9.16           | 0.03   |
| 紫金礦業     | ZJM | 9.14           | 0.03   |
| 總額       |     | 31,172.08      | 100.00 |



## 衍生產品市場 期貨及期權

### 各期權類別之合約成交量

2020年第2季

| 期權類別     |     | 合約成交量     | 佔市場百份比 |
|----------|-----|-----------|--------|
| 安碩 A50   | A50 | 33,560    | 0.12   |
| 瑞聲科技     | AAC | 152,792   | 0.55   |
| 海螺水泥     | ACC | 162,382   | 0.58   |
| 友邦保險     | AIA | 509,324   | 1.82   |
| 中國國航     | AIR | 28,797    | 0.10   |
| 阿里巴巴     | ALB | 940,549   | 3.37   |
| 中國鋁業     | ALC | 12,328    | 0.04   |
| 華夏滬深三百   | AMC | 65,114    | 0.23   |
| 安踏體育     | ANA | 49,162    | 0.18   |
| 交通銀行     | BCM | 63,376    | 0.23   |
| 東亞銀行     | BEA | 45,487    | 0.16   |
| 中銀香港     | BOC | 200,615   | 0.72   |
| 百威亞太     | BUD | 51,251    | 0.18   |
| 比亞迪股份    | BYD | 118,741   | 0.43   |
| 中國交通建設   | CCC | 103,461   | 0.37   |
| 中煤能源     | CCE | 11,751    | 0.04   |
| 中國信達     | CDA | 7,978     | 0.03   |
| 中廣核電力    | CGN | 1,990     | 0.01   |
| 中國移動     | CHT | 541,374   | 1.94   |
| 中國聯通     | CHU | 51,737    | 0.19   |
| 中信股份     | CIT | 65,111    | 0.23   |
| 長和       | CKH | 156,664   | 0.56   |
| 長實集團     | CKP | 93,134    | 0.33   |
| 中國人壽     | CLI | 671,512   | 2.41   |
| 中電控股     | CLP | 86,756    | 0.31   |
| 招商銀行     | CMB | 236,870   | 0.85   |
| 中國海洋石油   | CNC | 956,523   | 3.43   |
| 碧桂園      | COG | 40,475    | 0.14   |
| 中國海外發展   | COL | 75,686    | 0.27   |
| 國泰航空     | CPA | 13,879    | 0.05   |
| 中國石油化工股份 | CPC | 435,493   | 1.56   |
| 中國太保     | CPI | 154,315   | 0.55   |
| 中國鐵建     | CRC | 21,232    | 0.08   |
| 中國中鐵     | CRG | 14,580    | 0.05   |
| 華潤置地     | CRL | 56,578    | 0.20   |
| 南方 A50   | CSA | 42,895    | 0.15   |
| 中國神華     | CSE | 222,207   | 0.80   |
| 石藥集團     | CSP | 83,852    | 0.30   |
| 中信銀行     | CTB | 36,569    | 0.13   |
| 中國電信     | CTC | 26,422    | 0.09   |
| 中信証券     | CTS | 176,744   | 0.63   |
| 東風集團股份   | DFM | 12,111    | 0.04   |
| 中國恒大     | EVG | 58,075    | 0.21   |
| 廣汽集團     | GAC | 12,669    | 0.05   |
| 吉利汽車     | GAH | 79,250    | 0.28   |
| 銀河娛樂     | GLX | 215,412   | 0.77   |
| 長城汽車     | GWM | 143,533   | 0.51   |
| 海通證券     | HAI | 75,810    | 0.27   |
| 恒生中國企業   | HCF | 39,373    | 0.14   |
| 電能實業     | HEH | 64,278    | 0.23   |
| 香港交易所    | HEX | 1,776,964 | 6.37   |
| 恒安國際     | HGN | 44,453    | 0.16   |
| 匯豐控股     | HKB | 1,855,042 | 6.65   |
| 香港中華煤氣   | HKG | 62,742    | 0.22   |
| 恒基地產     | HLD | 38,945    | 0.14   |
| 華能國際電力股份 | HNP | 8,274     | 0.03   |
| 恒生銀行     | HSB | 343,889   | 1.23   |
| 京東集團     | JDC | 17,849    | 0.06   |
| 江西銅業股份   | JXC | 33,604    | 0.12   |

## 衍生產品市場 期貨及期權

| 期權類別      |     | 合約成交量             | 佔市場百份比        |
|-----------|-----|-------------------|---------------|
| 昆侖能源      | KLE | 23,234            | 0.08          |
| 金山軟件      | KSO | 119,749           | 0.43          |
| 聯想集團      | LEN | 67,073            | 0.24          |
| 利豐        | LIF | 1,128             | 0.00          |
| 領展房產基金    | LNK | 124,069           | 0.44          |
| 蒙牛乳業      | MEN | 50,388            | 0.18          |
| 美團點評-W    | MET | 1,055,491         | 3.78          |
| 美高梅中國     | MGM | 8,238             | 0.03          |
| 小米集團-W    | MIU | 1,343,291         | 4.81          |
| 民生銀行      | MSB | 38,114            | 0.14          |
| 港鐵公司      | MTR | 96,866            | 0.35          |
| 中國建材      | NBM | 84,120            | 0.30          |
| 新華保險      | NCL | 78,316            | 0.28          |
| 網易        | NTE | 47,937            | 0.17          |
| 新世界發展     | NWD | 67,396            | 0.24          |
| 中國平安      | PAI | 1,911,385         | 6.85          |
| 中國石油股份    | PEC | 274,089           | 0.98          |
| 中國財險      | PIC | 63,111            | 0.23          |
| 中國人民保險集團  | PIN | 5,210             | 0.02          |
| 富力地產      | RFP | 29,194            | 0.10          |
| 金沙中國有限公司  | SAN | 246,980           | 0.88          |
| 中國生物製藥    | SBO | 22,944            | 0.08          |
| 新鴻基地產     | SHK | 125,397           | 0.45          |
| 申洲國際      | SHZ | 24,543            | 0.09          |
| 舜宇光學科技    | SNO | 92,138            | 0.33          |
| 國藥控股      | SNP | 29,109            | 0.10          |
| 渣打集團      | STC | 24,819            | 0.09          |
| 融創中國      | SUN | 63,084            | 0.23          |
| 太古股份公司A   | SWA | 24,060            | 0.09          |
| 騰訊控股      | TCH | 5,798,090         | 20.77         |
| 創科實業      | TIC | 39,186            | 0.14          |
| 盈富基金      | TRF | 51,496            | 0.18          |
| 萬科企業      | VNK | 19,278            | 0.07          |
| 萬洲國際      | WHG | 15,160            | 0.05          |
| 九龍倉集團     | WHL | 10,322            | 0.04          |
| 中國旺旺      | WWC | 19,068            | 0.07          |
| 農業銀行      | XAB | 41,446            | 0.15          |
| 中國銀行      | XBC | 1,000,509         | 3.58          |
| 建設銀行      | XCC | 1,564,042         | 5.60          |
| 工商銀行      | XIC | 1,243,775         | 4.46          |
| 郵儲銀行      | XPB | 21,888            | 0.08          |
| 中國鐵塔      | XTW | 194,892           | 0.70          |
| 兗州煤業股份    | YZC | 22,211            | 0.08          |
| 紫金礦業      | ZJM | 29,793            | 0.11          |
| <b>總數</b> |     | <b>27,914,168</b> | <b>100.00</b> |

## 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／季  |     | 交收指示的數量 | 股數<br>(10億股) | 數值<br>(10億港元) |
|------|-----|---------|--------------|---------------|
| 2019 | 第2季 | 99,874  | 51.17        | 272.38        |
|      | 第3季 | 88,236  | 41.00        | 216.13        |
|      | 第4季 | 90,585  | 39.46        | 229.70        |
| 2020 | 第1季 | 112,469 | 54.66        | 372.30        |
|      | 第2季 | 108,623 | 44.79        | 304.92        |

### 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／季  |     | 投資者交收<br>指示的數量 | 股數<br>(百萬股) | 數值<br>(百萬港元) |
|------|-----|----------------|-------------|--------------|
| 2019 | 第2季 | 247            | 344.24      | 167.32       |
|      | 第3季 | 221            | 78.80       | 210.52       |
|      | 第4季 | 212            | 97.81       | 138.74       |
| 2020 | 第1季 | 277            | 77.61       | 257.83       |
|      | 第2季 | 271            | 75.64       | 183.49       |

### 經中央結算系統存管的股份

(按季度結存統計)

| 年／季  |     | 股數<br>(10億股) | 佔獲納入<br>中央結算系統的<br>證券的已發行股數<br>(%) | 市值<br>(10億港元) | 佔獲納入<br>中央結算系統的<br>證券的市價總值<br>(%) |
|------|-----|--------------|------------------------------------|---------------|-----------------------------------|
| 2019 | 第2季 | 6,634.14     | 75.28                              | 21,146.81     | 60.29                             |
|      | 第3季 | 6,578.06     | 75.40                              | 19,847.28     | 60.46                             |
|      | 第4季 | 6,500.57     | 75.41                              | 22,828.22     | 56.79                             |
| 2020 | 第1季 | 6,659.55     | 75.14                              | 19,923.76     | 57.59                             |
|      | 第2季 | 6,287.81     | 76.04                              | 22,883.15     | 57.78                             |

股數及市價總值包括非港元證券

## 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／季  |     | 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>(%) |
|------|-----|-----------|---------------|-------------|-------------|-----------------|-------------|
| 2019 | 第2季 | 1,559,363 | 100           | 250,956.59  | 100         | 94,382.51       | 100         |
|      | 第3季 | 1,350,055 | 100           | 207,222.11  | 100         | 76,732.85       | 100         |
|      | 第4季 | 1,270,877 | 100           | 185,033.90  | 100         | 76,842.11       | 100         |
| 2020 | 第1季 | 1,862,885 | 100           | 203,358.09  | 100         | 120,543.46      | 100         |
|      | 第2季 | 1,801,737 | 100           | 203,490.47  | 100         | 113,687.50      | 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／季  |     | 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>(%) |
|------|-----|----------------------|-------------------|---------------------|-------------------|
| 2019 | 第2季 | 82,910               | 97.18             | 27,311.43           | 94.52             |
|      | 第3季 | 73,520               | 97.10             | 22,741.87           | 94.27             |
|      | 第4季 | 73,720               | 96.90             | 21,764.14           | 93.96             |
| 2020 | 第1季 | 89,112               | 97.36             | 29,783.23           | 91.98             |
|      | 第2季 | 89,059               | 97.37             | 26,378.16           | 93.43             |

### 以「持續淨額交收」的股份數額的交收效率(每日平均數)

| 年／季  |     | 交收效率(%) |         |
|------|-----|---------|---------|
|      |     | 到期交收日   | 到期交收日翌日 |
| 2019 | 第2季 | 99.92   | 99.99   |
|      | 第3季 | 99.92   | 99.99   |
|      | 第4季 | 99.93   | 99.99   |
| 2020 | 第1季 | 99.86   | 99.99   |
|      | 第2季 | 99.92   | 99.99   |

# 結算及交收

## 季末未平倉合約

| 衍生產品                                 | 合約張數      |           |
|--------------------------------------|-----------|-----------|
|                                      | 2020年第2季  | 2019年第2季  |
| 恒生指數期貨                               | 129,015   | 132,110   |
| 恒生指數期權                               | 235,160   | 260,915   |
| 每周恒生指數期權 <sup>1</sup>                | 4,175     | –         |
| 小型恒生指數期貨                             | 10,523    | 12,239    |
| 小型恒生指數期權                             | 13,197    | 19,892    |
| 恒生指數(總股息累計指數)期貨                      | 24        | 9         |
| 恒生指數(淨股息累計指數)期貨                      | 16        | 2         |
| 恒生中國企業指數期貨                           | 350,634   | 330,487   |
| 恒生中國企業指數期權                           | 2,343,306 | 2,592,652 |
| 每周恒生中國企業指數期權 <sup>2</sup>            | 3,379     | –         |
| 小型恒生中國企業指數期貨                         | 5,284     | 5,037     |
| 小型恒生中國企業指數期權                         | 11,056    | 10,176    |
| 恒生中國企業指數(總股息累計指數)期貨                  | 9         | 0         |
| 恒生中國企業指數(淨股息累計指數)期貨                  | 6         | 0         |
| 自訂條款恒生指數期權                           | 0         | 0         |
| 自訂條款恒生中國企業指數期權                       | 150       | 0         |
| 恒指股息點指數期貨                            | 8,100     | 5,783     |
| 恒生國企股息點指數期貨                          | 112,078   | 121,605   |
| 恒指波幅指數期貨                             | 2         | 1         |
| MSCI亞洲除日本淨總回報指數期貨                    | 11,138    | 14,871    |
| 中華交易服務中國120指數期貨                      | 0         | 0         |
| 中華交易服務博彩業指數期貨 <sup>3</sup>           | –         | 0         |
| 恒生中國內地石油及天然氣指數期貨                     | 0         | 133       |
| 恒生中國內地銀行指數期貨                         | 10        | 143       |
| 恒生中國內地醫療保健指數期貨 <sup>4</sup>          | –         | 0         |
| 恒生中國內地地產指數期貨                         | 10        | 56        |
| 恒生資訊科技器材指數期貨 <sup>5</sup>            | –         | 0         |
| 恒生軟件服務指數期貨 <sup>6</sup>              | –         | 0         |
| IBOVESPA期貨                           | 0         | 0         |
| MICEX指數期貨                            | 0         | 0         |
| FTSE/JSE Top40期貨                     | 0         | 0         |
| 股票期貨                                 | 16,067    | 16,125    |
| 股票期權                                 | 7,904,587 | 7,893,237 |
| 三個月港元利率期貨                            | 105       | 25        |
| 一個月港元利率期貨                            | 0         | 0         |
| 人民幣貨幣期貨—美元兌人民幣(香港)期貨                 | 24,112    | 31,732    |
| 人民幣貨幣期權—美元兌人民幣(香港)期權                 | 3,183     | 2,990     |
| 人民幣貨幣期貨—歐元兌人民幣(香港)期貨                 | 30        | 477       |
| 人民幣貨幣期貨—日圓兌人民幣(香港)期貨                 | 0         | 120       |
| 人民幣貨幣期貨—澳元兌人民幣(香港)期貨                 | 37        | 165       |
| 人民幣貨幣期貨—人民幣(香港)兌美元期貨                 | 196       | 1,096     |
| 印度盧比貨幣期貨—印度盧比兌美元期貨 <sup>7</sup>      | 285       | –         |
| 印度盧比貨幣期貨—印度盧比兌人民幣(香港)期貨 <sup>8</sup> | 0         | –         |
| 美元黃金期貨                               | 239       | 1,028     |
| 人民幣(香港)黃金期貨                          | 3         | 14        |
| 美元白銀期貨 <sup>9</sup>                  | 135       | –         |
| 人民幣(香港)白銀期貨 <sup>10</sup>            | 0         | –         |
| 鐵礦石期貨—月度合約                           | 3,184     | 556       |
| 鐵礦石期貨—季度合約                           | 0         | 0         |
| 人民幣(香港)倫敦鋁期貨小型合約                     | 0         | 0         |
| 人民幣(香港)倫敦鋅期貨小型合約                     | 0         | 1         |
| 人民幣(香港)倫敦銅期貨小型合約                     | 0         | 0         |
| 人民幣(香港)倫敦鉛期貨小型合約                     | 0         | 0         |
| 人民幣(香港)倫敦鎳期貨小型合約                     | 0         | 0         |

## 結算及交收

| 衍生產品                      | 合約張數              |                   |
|---------------------------|-------------------|-------------------|
|                           | 2020年第2季          | 2019年第2季          |
| 人民幣(香港)倫敦錫期貨小型合約          | 0                 | 0                 |
| 美元倫敦鋁期貨小型合約 <sup>11</sup> | 174               | –                 |
| 美元倫敦鋅期貨小型合約 <sup>12</sup> | 56                | –                 |
| 美元倫敦銅期貨小型合約 <sup>13</sup> | 163               | –                 |
| 美元倫敦鉛期貨小型合約 <sup>14</sup> | 0                 | –                 |
| 美元倫敦鎳期貨小型合約 <sup>15</sup> | 14                | –                 |
| 美元倫敦錫期貨小型合約 <sup>16</sup> | 0                 | –                 |
| <b>總數</b>                 | <b>11,189,842</b> | <b>11,453,677</b> |

- 1 每周恒生指數期權由2019年9月16日開始買賣
- 2 每周恒生中國企業指數期權由2019年9月16日開始買賣
- 3 中華交易服務博彩業指數期貨由2019年12月30日停止買賣
- 4 恒生中國內地醫療保健指數期貨由2019年12月30日停止買賣
- 5 恒生資訊科技器材指數期貨由2019年12月30日停止買賣
- 6 恒生軟件服務指數期貨由2019年12月30日停止買賣
- 7 印度盧比貨幣期貨—印度盧比兌美元期貨由2019年11月04日開始買賣
- 8 印度盧比貨幣期貨—印度盧比兌人民幣(香港)期貨由2019年11月04日開始買賣
- 9 美元白銀期貨由2020年6月08日開始買賣
- 10 人民幣(香港)白銀期貨由2020年6月08日開始買賣
- 11 美元倫敦鋁期貨小型合約由2019年8月05日開始買賣
- 12 美元倫敦鋅期貨小型合約由2019年8月05日開始買賣
- 13 美元倫敦銅期貨小型合約由2019年8月05日開始買賣
- 14 美元倫敦鉛期貨小型合約由2019年8月05日開始買賣
- 15 美元倫敦鎳期貨小型合約由2019年8月05日開始買賣
- 16 美元倫敦錫期貨小型合約由2019年8月05日開始買賣



# 結算及交收

## 各期權類別之未平倉合約

2020年第2季末

| 期權類別     |     | 未平倉合約   | 佔市場百份比 |
|----------|-----|---------|--------|
| 安碩A50    | A50 | 11,185  | 0.14   |
| 瑞聲科技     | AAC | 20,709  | 0.26   |
| 海螺水泥     | ACC | 22,792  | 0.29   |
| 友邦保險     | AIA | 113,920 | 1.44   |
| 中國國航     | AIR | 8,679   | 0.11   |
| 阿里巴巴     | ALB | 237,518 | 3.00   |
| 中國鋁業     | ALC | 4,483   | 0.06   |
| 華夏滬深三百   | AMC | 19,310  | 0.24   |
| 安踏體育     | ANA | 5,993   | 0.08   |
| 交通銀行     | BCM | 33,994  | 0.43   |
| 東亞銀行     | BEA | 12,803  | 0.16   |
| 中銀香港     | BOC | 38,683  | 0.49   |
| 百威亞太     | BUD | 16,114  | 0.20   |
| 比亞迪股份    | BYD | 21,920  | 0.28   |
| 中國交通建設   | CCC | 26,238  | 0.33   |
| 中煤能源     | CCE | 4,756   | 0.06   |
| 中國信達     | CDA | 3,474   | 0.04   |
| 中廣核電力    | CGN | 746     | 0.01   |
| 中國移動     | CHT | 149,432 | 1.89   |
| 中國聯通     | CHU | 18,838  | 0.24   |
| 中信股份     | CIT | 14,816  | 0.19   |
| 長和       | CKH | 33,344  | 0.42   |
| 長實集團     | CKP | 13,784  | 0.17   |
| 中國人壽     | CLI | 231,995 | 2.93   |
| 中電控股     | CLP | 11,607  | 0.15   |
| 招商銀行     | CMB | 64,780  | 0.82   |
| 中國海洋石油   | CNC | 207,153 | 2.62   |
| 碧桂園      | COG | 12,711  | 0.16   |
| 中國海外發展   | COL | 16,271  | 0.21   |
| 國泰航空     | CPA | 2,471   | 0.03   |
| 中國石油化工股份 | CPC | 181,635 | 2.30   |
| 中國太保     | CPI | 44,593  | 0.56   |
| 中國鐵建     | CRC | 7,693   | 0.10   |
| 中國中鐵     | CRG | 3,946   | 0.05   |
| 華潤置地     | CRL | 11,839  | 0.15   |
| 南方A50    | CSA | 17,989  | 0.23   |
| 中國神華     | CSE | 78,685  | 1.00   |
| 石藥集團     | CSP | 15,394  | 0.19   |
| 中信銀行     | CTB | 17,595  | 0.22   |
| 中國電信     | CTC | 17,330  | 0.22   |
| 中信証券     | CTS | 58,998  | 0.75   |
| 東風集團股份   | DFM | 4,241   | 0.05   |
| 中國恒大     | EVG | 17,733  | 0.22   |

## 結算及交收

| 期權類別     |     | 未平倉合約   | 佔市場百份比 |
|----------|-----|---------|--------|
| 廣汽集團     | GAC | 3,179   | 0.04   |
| 吉利汽車     | GAH | 19,888  | 0.25   |
| 銀河娛樂     | GLX | 41,305  | 0.52   |
| 長城汽車     | GWM | 86,819  | 1.10   |
| 海通證券     | HAI | 26,762  | 0.34   |
| 恒生中國企業   | HCF | 15,734  | 0.20   |
| 電能實業     | HEH | 12,795  | 0.16   |
| 香港交易所    | HEX | 359,741 | 4.55   |
| 恒安國際     | HGN | 5,669   | 0.07   |
| 匯豐控股     | HKB | 484,448 | 6.13   |
| 香港中華煤氣   | HKG | 19,235  | 0.24   |
| 恒基地產     | HLD | 9,390   | 0.12   |
| 華能國際電力股份 | HNP | 2,475   | 0.03   |
| 恒生銀行     | HSB | 105,902 | 1.34   |
| 京東集團     | JDC | 7,628   | 0.10   |
| 江西銅業股份   | JXC | 10,046  | 0.13   |
| 昆侖能源     | KLE | 7,522   | 0.10   |
| 金山軟件     | KSO | 19,299  | 0.24   |
| 聯想集團     | LEN | 31,973  | 0.40   |
| 利豐       | LIF | 0       | 0.00   |
| 領展房產基金   | LNK | 20,677  | 0.26   |
| 蒙牛乳業     | MEN | 9,115   | 0.12   |
| 美團點評-W   | MET | 175,881 | 2.23   |
| 美高梅中國    | MGM | 1,170   | 0.01   |
| 小米集團-W   | MIU | 390,768 | 4.94   |
| 民生銀行     | MSB | 37,242  | 0.47   |
| 港鐵公司     | MTR | 19,862  | 0.25   |
| 中國建材     | NBM | 19,499  | 0.25   |
| 新華保險     | NCL | 40,955  | 0.52   |
| 網易       | NTE | 23,410  | 0.30   |
| 新世界發展    | NWD | 18,796  | 0.24   |
| 中國平安     | PAI | 902,261 | 11.41  |
| 中國石油股份   | PEC | 117,915 | 1.49   |
| 中國財險     | PIC | 16,755  | 0.21   |
| 中國人民保險集團 | PIN | 1,682   | 0.02   |
| 富力地產     | RFP | 3,113   | 0.04   |
| 金沙中國有限公司 | SAN | 69,645  | 0.88   |
| 中國生物製藥   | SBO | 4,097   | 0.05   |
| 新鴻基地產    | SHK | 19,931  | 0.25   |
| 申洲國際     | SHZ | 4,183   | 0.05   |
| 舜宇光學科技   | SNO | 11,315  | 0.14   |
| 國藥控股     | SNP | 8,455   | 0.11   |
| 渣打集團     | STC | 0       | 0.00   |
| 融創中國     | SUN | 16,261  | 0.21   |
| 太古股份公司A  | SWA | 5,516   | 0.07   |

## 結算及交收

| 期權類別   |     | 未平倉合約     | 佔市場百份比 |
|--------|-----|-----------|--------|
| 騰訊控股   | TCH | 1,086,107 | 13.74  |
| 創科實業   | TIC | 4,517     | 0.06   |
| 盈富基金   | TRF | 9,056     | 0.11   |
| 萬科企業   | VNK | 7,754     | 0.10   |
| 萬洲國際   | WHG | 3,231     | 0.04   |
| 九龍倉集團  | WHL | 2,304     | 0.03   |
| 中國旺旺   | WWC | 7,800     | 0.10   |
| 農業銀行   | XAB | 14,401    | 0.18   |
| 中國銀行   | XBC | 493,079   | 6.24   |
| 建設銀行   | XCC | 581,399   | 7.36   |
| 工商銀行   | XIC | 556,792   | 7.04   |
| 郵儲銀行   | XPB | 6,331     | 0.08   |
| 中國鐵塔   | XTW | 52,791    | 0.67   |
| 兗州煤業股份 | YZC | 5,270     | 0.07   |
| 紫金礦業   | ZJM | 7,251     | 0.09   |
| 總數     |     | 7,904,587 | 100.00 |

# 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 |
|------|-----|--------------|---------------|----------------|---------|
| 2019 | 第2季 | 706 (1101)   | 657 (1045)    | 34 (41)        | 15 (15) |
|      | 第3季 | 712 (1107)   | 655 (1040)    | 42 (52)        | 15 (15) |
|      | 第4季 | 719 (1110)   | 658 (1041)    | 46 (54)        | 15 (15) |
| 2020 | 第1季 | 719 (1109)   | 652 (1032)    | 52 (62)        | 15 (15) |
|      | 第2季 | 716 (1104)   | 646 (1022)    | 56 (68)        | 14 (14) |

( ) 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 |
|------|-----|--------------|---------------|----------------|---------|
| 2019 | 第2季 | 250 (272)    | 194 (214)     | –              | 56 (58) |
|      | 第3季 | 249 (271)    | 193 (213)     | –              | 56 (58) |
|      | 第4季 | 252 (274)    | 195 (215)     | –              | 57 (59) |
| 2020 | 第1季 | 254 (276)    | 197 (217)     | –              | 57 (59) |
|      | 第2季 | 253 (275)    | 197 (217)     | –              | 56 (58) |

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 | 全面結算參與者 |
|----------|-------|---------|
| 2019 第2季 | 160   | 9       |
| 第3季      | 159   | 9       |
| 第4季      | 160   | 9       |
| 2020 第1季 | 162   | 9       |
| 第2季      | 161   | 9       |

### 聯交所期權結算所參與者

| 年／月      | 直接結算參與者 | 全面結算參與者 |
|----------|---------|---------|
| 2019 第2季 | 62      | 9       |
| 第3季      | 64      | 9       |
| 第4季      | 66      | 9       |
| 2020 第1季 | 64      | 9       |
| 第2季      | 65      | 9       |

### 中央結算所參與者

| 年／月      | 直接結算<br>參與者 | 全面結算<br>參與者 | 非經紀<br>參與者(*) |
|----------|-------------|-------------|---------------|
| 2019 第2季 | 633         | 9           | 44            |
| 第3季      | 638         | 9           | 43            |
| 第4季      | 638         | 9           | 42            |
| 2020 第1季 | 636         | 9           | 43            |
| 第2季      | 638         | 9           | 43            |

\* 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

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|              |                   |
|--------------|-------------------|
| 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       |
| DR           | 預託證券              |
| DW           | 衍生權證              |
| ELI          | 股票掛鉤票據            |
| ETF          | 交易所買賣基金           |
| 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           |
| L&I Products | 槓桿及反向產品           |
| 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         |
| RQFII        | 人民幣境外合格機構投資者      |
| 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              |
| SS           | 合訂證券              |



