

ENTITLEMENT STATEMENT

Report ID : CCNPT02

Report Name : *Entitlement Statement*

Purpose The *Entitlement Statement* lists the entitlement receivables and payments for all nominee activities. In addition, the Statement provides corporate announcement information to participants. It is composed of sixteen sections with the printing of a particular report section heading suppressed when there is no activity. Separate reports are generated for Hong Kong market (HKMK) shares, Shanghai market shares (MAMK) and Shenzhen market (SZMK) shares.

Section Content: I. CORPORATE ACTION REMINDER

Provides information regarding the effective dates of outstanding Corporate Action events, where the effective dates are within seven days as of the report generation date.

II. SCRIP FEE

Provides details of the current day's collection of scrip fee for a particular stock. For participant undergone a change of membership, a sub-section "Holding/Concession From Previous Part ID" is printed with the shareholding and scrip fee concession details of the "Previous Participant ID" before change of membership.

III. CORPORATE ACTION FEE

For various announcement types, provides details of the corporate action fee collected on the date specified.

IV. BENEFIT ENTITLEMENT

The receivable resulting from a benefit entitlement of a stock is printed usually on the Last Registration Day up until the payment day of the benefit entitlement. Benefit entitlement for a stock can be in the form of share dividend or cash dividend. In the case where benefit entitlement is announced with the election of options (e.g. payment of a dividend with an option of foreign currency or HKD), the resulting receivables are printed starting from the day of election authorisation to payment day.

The receivable is printed as 'To Be Determined' in the following situations:

- 1) prior to the authorisation of the election of entitlement with options
- 2) when the dividend rate or re-investment price for the benefit entitlement is not yet determined by the listed company as of Last Registration Day.
- 3) when the entitlement option is in foreign currency and the exchange rate is not known
- 4) when the election period starts and the entitlements have not yet been elected by the participant

The 'To Be Determined' message is replaced by the calculated/elected receivable once the pending information is determined by the listed company, or when the participant authorises the election instruction or when the participant makes the election. Payment is reflected on payment day along with the associated charges.

V. EXCHANGE OF SHARES

The original shareholding and the receivable amounts resulting from the Exchange of Shares are displayed starting from the Exchange of Shares effective day until the payment day. On effective day, the payment amount is reflected with the corporate action fee for the transaction.

VI. TAKEOVER OFFER / AUTO-EXERCISE OF STRUCTURED PRODUCTS

For *subscription to conditional and unconditional takeover*, details of the subscription instructions, including the receivable amounts are displayed from the instruction authorisation day up until payment day.

For *compulsory takeover*, the receivable amount based on the participant's shareholding is calculated and reflected starting from the compulsory takeover's effective date until payment day. The gross payment is shown along with charges related to the compulsory takeover on payment day.

For *election to auto-exercise of structured products with option* to elect the form of payment to be received at maturity, details of the payment election instructions, including the elected quantity and the receivable amounts are displayed from the instruction authorisation day until payment day.

On payment day, the actual payment for each subscription or election instruction is shown. Other than the corporate action fee displayed and collected on instruction authorisation day, charges related to the takeover offer / auto-exercise of structured products are shown on payment day.

VII. WARRANT SUBSCRIPTION

Displays the receivable details resulting from registered warrant and covered warrant subscriptions starting from the day of instruction authorisation until payment day. In the case of covered warrant subscription, the receivable is shown as 'To Be Determined' until confirmation of a cash or scrip payment, or a combination thereof. On payment day, the payment amounts are printed along with the associated charges. When any part of the payment is in cash, refund of the T/D stamp duty and scrip fee are shown.

VIII. RIGHTS / EXCESS RIGHTS SUBSCRIPTION

Displays the receivable details and subscription money of rights subscription instructions starting from the day of instruction authorisation until payment day. For subscription to excess rights, the receivable is printed as 'To Be Determined' along with the corresponding subscription money collected. On payment day, the payment amounts are shown for rights and successful excess rights subscriptions. For an unsuccessful excess rights subscription, the refund of subscription money is printed on payment day.

IX. OPEN OFFER / EXCESS OPEN OFFER

Displays the receivable details and related charges to an open offer subscription starting from the day of instruction authorisation until payment day. For subscription to excess open offer, the receivable is printed as 'To Be Determined' along with the related charges. On payment day, the payment amounts are shown for open offer subscription and successful excess open offer subscription. Subscription money and charges associated with an unsuccessful excess open offer are refunded. Refund is also required for variances resulting from subscriptions to the open offer / excess open offer when the combined offering mechanism is employed.

X. CORPORATE ACTION

The details of a corporate action are printed on the effective day of the event. The section of the report reflects the amount of the original stock quantity as well as the new stock quantity and corporate action fee.

XI. PERIODIC INTEREST ENTITLEMENT

The interest entitlement payable to bond holders is calculated based on the participant's shareholding as of the Last Registration Date (for registered bonds), or as of CCASS Record Date (for bearer bonds), and displayed up to the payment date. Upon payment of the interest entitlement, an interest collection fee is charged (not exceeding a certain maximum), based on the gross value of the interest payment.

XII. BOND / PREF.SHS CONVERSION

Displays the receivable details and related charges to bond and or preference share conversion from the day of instruction authorisation until payment day. On payment day, the payment amounts are shown along with payment charges.

XIII. WARRANT SUBSCRIPTION WITH BOND CONVERSION

Displays the receivable details and related charges to subscription of registered warrant when conversion of a bond is used as payment towards subscription money. The value reflected in the subscription money field is net of the amount covered by the equivalent value of the bond converted. On payment day, the payment amounts are printed along with the payment charges.

XIV. REDEMPTION

Displays the receivable details and related charges resulting from bond redemption. On payment day, the payment amounts are shown along with the associated charges. (For the various types of bond redemption, refer to Section 5.14)

XV. CLAIMS ON UNCLAIMS

Details of claims on unclaimed benefit entitlements are printed on the date of the payment of the claim. Payment details include the associated charges.

XVI. BOOK-CLOSE REMINDER

Provides information on outstanding corporate announcements, including relevant book-close dates, instruction input periods, and the effective dates of the nominee activities; usually available from seven Business Days prior to the relevant book-close dates, record dates and/or effective dates.

Time Available : On each business day from the time when the report download function is available.

Frequency : Once daily

Section 4.3
Report Description

This key refers to the *Entitlement Statement* sample 4.3.37.

Field Description :

X-Ref	Field Name	Description
(1)	CCNPT02	Report ID for <i>Entitlement Statement</i>
(2)	B03456	Participant ID
(3)	CCASS COMPANY	Participant full name
(4)	RUN DATE	Date the report is printed
(5)	RUN TIME	Time the report is printed
(6)	DATE	Date of the nominee activity
(7)	(variable)	Section heading
(8)	EFFECTIVE DATE	Effective date of the Corporate Action
(9)	STOCK	Stock code and stock name of the Corporate Action
(10)	ANCM NO.	The Announcement Number for the corporate announcement
(11)	ANNOUNCEMENT SUMMARY	Summary of the corporate announcement
(12)	EVT NO.	Event Number of the corresponding corporate announcement
(13)	EVENT SUMMARY	Summary of the corporate event under the corresponding announcement
(14)	STOCK	Stock name and stock code for the scrip fee information
(15)	CHRG CODE	Charge code: B = Book close; D = Deemed book close; E = Corporate action event
(16)	LAST COLL DT	Last scrip fee collection date
(17)	COLL DATE BALANCE	Shareholding balance on the scrip fee collection date
(18)	WTDL QTY (CONV)	Cumulative share quantity withdrawn for conversion and units redeemed since last scrip fee collection date
(19)	RUSH S.F. ST DTE - 1	Shareholding balance on the day prior to Rush Scrip Fee Start Date. The Rush Scrip Fee Start Date applies to warrant conversions made in the tail end of the subscription period of a warrant approaching expiry
(20)	LAST COLL DATE BAL	Shareholding balance on last scrip fee collection date
(21)	SPECIAL DEP QTY	Special deposit quantity includes jumbo certificate deposits and book-entry deposits
(22)	SUBSCRIBED QTY	Number of shares subscribed from the Rush Scrip Fee Start Date until the subscription end date
(23)	ENTITLEMENT QTY	Shareholding increase since last scrip fee collection date as a result of corporate events which include bonus entitlement, stock conversion (e.g. rights subscription, warrant subscription), privatization (e.g. take-over offer), corporate action processing (e.g. splitting, consolidation)

X-Ref	Field Name	Description
(24)	NET INCREASE	<p>Net increase in shareholding: (Collection Date Balance + Withdrawal Quantity for Conversion) - (Last Collection Date Balance + Entitlement Quantity+ Special Deposit Quantity)</p> <p>Or, in the case of Rush Service Scrip Fee: (Subscribed Quantity - Shareholding Balance one day prior to Rush Scrip Fee Start Date) / Board Lot Size</p>
(25)	NO. OF BOARD LOT INCREASE	Number of board lot increase since last scrip fee collection date
(26)	SCRIP FEE	Scrip fee to be charged due to the net increase of shareholding
(27)	TOTAL	Total number of board lot increased and total scrip fee
(28)	ORIGINAL STOCK	Stock code and stock name
(29)	HLDG/RECV TYPE	Identifies the original shareholding as either 'Holding' (positive or negative), 'Receivable' (participant's entitlement from the original shareholding quantity of a stock or from subscription activities), 'Position' (long position is positive / short position is negative) or SBL position
(30)	RECV TYPE	<p>Identifies the type of the RECEIVABLE QTY/AMT as Preliminary, Final, Cancelled, To-be-advised</p> <p>'Preliminary RECEIVABLE QYT/AMT' ('PRE') is the receivable reflected for the nominee activity until confirmation of the actual payment amount on payment date</p> <p>'Final RECEIVABLE QTY/AMT' ('FNL') reflects the payment of the nominee activity</p> <p>'Cancelled RECEIVABLE QTY/AMT' ('CNL') reflects the cancellation of a receivable or a fully/partially unsuccessful subscription activity</p> <p>'To-be-advised RECEIVABLE QTY/AMT' ('TBA') is shown if the cash receivable of an eligible currency is debited or credited to a participant who does not have a valid foreign currency bank account</p>
(31)	REFERENCE NO or TRAN NO.	<p>Unique reference number generated for the instruction record</p> <p>For benefit entitlement with options, it shows the "announcement number" prior to the authorisation of the election instruction by participants. After election is made, it shows the "instruction reference number".</p>
(32)	DSTR STK/CCY	Shows the stock or currency (with associated stock code) to be distributed in the nominee activity
(33)	ORIG SHAREHOLDINGS	Shows the participant's shareholding of the ORIGINAL STOCK, usually as of Last Registration Day

Section 4.3
Report Description

X-Ref	Field Name	Description
(34)	RECEIVABLE QTY/AMT	For benefit entitlement, shows the calculated receivable quantity/amount resulting from the original shareholding quantity of a stock For benefit entitlement with options, shows the receivable quantity/amount resulting from the election of benefit entitlement options Shows "TO BE DETERMINED, prior to the authorisation of the election of entitlement with options 'Receivable quantity' refers to the receivable when the payment is in shares. 'Receivable amount' refers to the receivable when the payment is in cash.
(35)	DIVD COLL FEE	Dividend Collection Fee
(36)	BANK CHARGES	Bank charges incurred for dividend payments in foreign currency
(37)	NET PAYMENT	Payment of the RECEIVABLE QTY/AMT less the applicable DIVIDEND COLL FEE and the BANK CHARGES
(38)	ANCM NO.	The Announcement Number for the corporate announcement
(39)	EVT NO.	Event Number of the corresponding corporate announcement
(40)	(variable)	Sub-section heading
(41)	NEW STOCK	The new stock resulting from the Exchange of Shares
(42)	RECEIVABLE QUANTITY	Shows the receivable quantity based on the ORIG SHAREHOLDINGS for the Exchange of Shares activity
(43)	CORPORATE ACTION FEE	Corporate action fee for the Exchange of Shares
(44)	TAKE-UP QUANTITY	Shows the number of shares subscribed for a take-over offer or elected for the form of payment to be received of structured products at maturity
(45)	RECEIVABLE QTY/AMT	Shows the calculated receivable quantity/amount for the subscription to the take-over offer or auto-exercise of structured products
(46)	CA FEE	Corporate action fee for subscription to the take-over offer or for auto-exercise of structured products
(47)	BANK CHARGES	Bank charges incurred when payment of the subscription to the take-over offer or auto-exercise of structured products is in foreign currency
(48)	AD VALOREM STAMP DUTY	Amount of Ad Valorem Stamp Duty incurred for the subscription to the take-over offer or auto-exercise of structured products
(49)	WARRANT QUANTITY	The number of shares subscribed for in the warrant subscription
(50)	RECEIVABLE QTY/AMT	Shows the calculated receivable quantity/amount for the warrant subscription

X-Ref	Field Name	Description
(51)	SUBSCRIPTION MONEY	Subscription money charged for subscribing to the warrant conversion
(52)	CANCEL FEE	Cancellation fee charged for cancelling the old certificates in the covered warrant conversion
(53)	AD VALOREM STAMP DUTY	Ad Valorem Stamp Duty for each underlying stock of the covered warrant subscription which is collected and shown upon instruction payment
(54)	CA FEE	Corporate Action Fee charged for the warrant subscription
(55)	T/D STAMP COLL	Transfer Deed Stamp Duty for each underlying stock collected in the covered warrant subscription
(56)	T/D STAMP RFD	Transfer Deed Stamp Duty refunded for each underlying stock when all of the payment for the covered warrant subscription is in cash
(57)	EXERCISE FEE	Exercise Fee for the covered warrant subscription
(58)	TRANSFER FEE COLL	Transfer Fee collected for each underlying stock of the covered warrant subscription
(59)	TRANSFER FEE RFD	Transfer Fee refunded for each underlying stock when all or part of the payment for the covered warrant subscription is in cash
(60)	RIGHTS QUANTITY	The number of shares subscribed for in the rights or excess rights subscription
(61)	RECEIVABLE QUANTITY	Shows the calculated receivable quantity for the rights or excess rights subscription
(62)	CORPORATE ACTION FEE	Corporate Action Fee charged for the rights subscription
(63)	SUB MONEY COLLECTED	Subscription Money collected for subscription to rights or excess rights
(64)	SUB MONEY REFUNDED	Subscription money refunded when subscription to excess rights is unsuccessful
(65)	ORIGINAL STK QTY	The number of shares subscribed for in the open offer or excess open offer subscription
(66)	RECEIVABLE QUANTITY	Shows the calculated receivable quantity for the open offer or excess open offer subscription
(67)	CORPORATE ACTION FEE	Corporate Action Fee charged for the open offer subscription
(68)	SUBSCRIPTION MONEY (COLLECTED)	Subscription money collected for subscription to open offer or excess open offer
(69)	SUBSCRIPTION MONEY (RFD (PRC DIFF))	Refund of subscription money due to the price difference between subscription at the maximum offer price and the actual offer price
(70)	SUBSCRIPTION MONEY (RFD UNSUCCESS)	Refund of subscription money due to a partially or completely unsuccessful excess open offer subscription
(71)	TRANS LEVY AND TRADING FEE (COLLECTED)	Transaction levy and trading fee collected for subscription to open offer or excess open offer

Section 4.3
Report Description

X-Ref	Field Name	Description
(72)	TRANS LEVY AND TRADING FEE (RFD (PRC DIFF))	Refund of transaction levy and trading fee due to the price difference between subscription at the maximum offer price and the actual offer price
(73)	TRANS LEVY AND TRADING FEE (RFD UNSUCCESS)	Refund of transaction levy and trading fee due to a partially or completely unsuccessful excess open offer subscription
(74)	BROKERAGE FEE (COLLECTED)	Brokerage fee collected for subscription to open offer or excess open offer
(75)	BROKERAGE FEE (RFD (PRC DIFF))	Refund of brokerage fee due to price difference between subscription at the maximum offer price and the actual offer price
(76)	BROKERAGE FEE (RFD UNSUCCESS)	Refund of brokerage fee due to a partially or completely unsuccessful excess open offer subscription
(77)	NEW STOCK	The new stock from which the old stock is converted in the Corporate Action process
(78)	STOCK ACCOUNT NO.	The stock account credited with the new stock
(79)	ORIGINAL STK QTY	The quantity of the original stock
(80)	NEW STK QTY	The quantity of the new stock
(81)	CORPORATE ACTION FEE	Corporate Action Fee charged for the corporate action
(82)	ORIGINAL SHARE QTY	Original share quantity on which an entitlement claim is being made
(83)	DISTRIBUTED QTY/AMT	Distributed quantity/amount of the claim based on the ORIGINAL SHARE QTY
(84)	TOTAL NO. OF ANNOUNCEMENT CLAIMED	Cumulative number of announcements associated with the claims on unclaims transactions paid out in the day
(85)	TOTAL HANDLING FEE	Total handling fee for the claims made in the day
(86)	VOTING/BOOK CLOSED/INSTR INPUT PERIOD/EFFECT. DATE	For the relevant announcement, the dates associated with the voting period, book-close period, instruction input period, and effective date BOOK CLOSED Period is not applicable to Uncertificated Eligible Securities and China Connect Securities
(87)	ELECTION PERIOD	Election period associated in the election of benefit entitlement with options
(88)	STOCK	Stock code and stock name
(89)	COLLECTION DATE	Date the corporate action fee is collected
(90)	ANCM TYPE	The corporate announcement type which is charged the corporate action fee. The following announcement types are charged the corporate action fee (No Corporate Action Fee is charged on following corporate announcement of MAMK and SZMK): <ul style="list-style-type: none"> - RS - Rights Subscription - RW - Registered Warrant Subscription - BW - Registered Warrant Subscription with Bond Conversion - CW - Covered Warrant Subscription - ES - Exchange of Shares - CA - Corporate Action - OO - Open Offer

X-Ref	Field Name	Description
		- TC - Take-over Offer (Conditional)
		- TU - Take-over Offer (Unconditional)
		- TM - Take-over Offer (Compulsory) /Auto-exercise
(91)	STOCK A/C	Stock account from which the ORIG. SHAREHOLDINGS are debited
(92)	ORIG. SHAREHOLDINGS	The amount of the shareholdings which is being charged the corporate action fee
(93)	NO. OF BOARD LOTS	The number of board lots determined from the ORIG. SHAREHOLDINGS
(94)	CORPORATE ACTION FEE	The corporate action fee charged based upon the NO. OF BOARD LOTS multiplied by the corporate action fee rate No Corporate Action Fee is charged on any corporate announcement of MAMK and SZMK
(95)	BK CLOSE PERD or BK CLOSE PERIOD	The dates associated for the book-close period of the relevant announcement BOOK CLOSED Period is not applicable to Uncertificated Eligible Securities and China Connect Securities
(96)	LAST REG DT	The Last Registration Date of the relevant book-close for the announcement
(97)	EXPECTED PAY DATE or EXP PAY DATE	The expected payable date for the announcement. "TBA" (To Be Announced) or blank field is shown prior to the confirmation of the expected payable date by the issuer
(98)	ORIG SHAREHOLDINGS	Shows the participant's shareholding of the bond undergoing interest entitlement, as of the Last Registration Date (for registered bonds), or as of CCASS Record Date (for bearer bonds)
(99)	RECEIVABLE AMT	Shows the receivable amount for the bond's interest entitlement
(100)	INT COLL FEE	Interest Collection Fee
(101)	DISB CHARGES	Disbursement charges and out-of-pocket expenses
(102)	SUBSCRIPTION QTY	The number of shares subscribed to the announcement
(103)	RECEIVABLE QTY/AMT	Shows the calculated receivable quantity/amount for the subscription activity
(104)	SUBSCRIPTION MONEY	Subscription money charged for subscription to the bond conversion
(105)	CONV FEE	Conversion fee charged as a flat rate per subscription instruction to the bond conversion
(106)	EXERCISE FEE	Exercise fee charged for subscription to the bond conversion
(107)	SCRIP FEE COL	Scrip fee collected for subscription to the bond conversion
(108)	BOND/BOND ISIN	The bond converted as payment towards subscription money incurred in subscribing to the announcement and the International Securities Identification Number of the bond

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Report Description

X-Ref	Field Name	Description
(109)	BOND QUANTITY	The bond quantity converted as payment towards subscription money incurred in subscribing to the announcement
(110)	SUBSCRIPTION MONEY	Subscription money to the registered warrant announcement, net of the equivalent value of the bond converted as payment
(111)	CA FEE	Corporate action fee charged for the subscription instruction
(112)	REDEMPTION QTY	Quantity of the bond redeemed in the redemption announcement
(113)	RECEIVABLE QTY/AMT	Shows the calculated receivable quantity/amount for the redemption activity
(114)	REDEMPTION FEE	Redemption fee charged as a flat rate per subscription instruction to the bond redemption
(115)	FROM WARRANT	Warrant code from which the subscription caused generation of the BE receivables
(116)	SCRIP FEE CONCESSION QTY	Share quantity delivered to an Investor Participant via ISI under portfolio movement purpose without trade value input within the first ten settlement days from the account opening date of the investor participant
(117)	HOLDING/CONCESSION FROM PREVIOUS PART ID	Sub-section showing the shareholding and scrip fee concession details of the "Previous Participant ID" before change of membership
(118)	SBL POS NO	Stock Borrowing/Lending position number (A prefix 'L' indicates that it is a lending position)
(119)	MISC FEE	Miscellaneous fees incurred for warrant subscription
(120)	SCRIP FEE	Scrip Fee Indicator to indicate whether the announcement is subjected to scrip fee collection.
(121)	BANK CHARGES (warrant subscription)	Bank charges incurred when payment of warrant subscription is in foreign currency in case appropriate
(122)	BANK CHARGES (periodic interest entitlement)	Bank charges incurred when payment of periodic interest entitlement is in foreign currency in case appropriate
(123)	NET PAYMENT (periodic interest entitlement)	Payment of the RECEIVABLE QTY/AMT less the applicable INT COLL FEE and the BANK CHARGES
(124)	BANK CHARGES (bond/pref shs conversion)	Bank charges incurred when payment of bond/pref shs conversion is in foreign currency in case appropriate
(125)	BANK CHARGES (warrant subscription with bond conversion)	Bank charges incurred when payment of warrant subscription with bond conversion is in foreign currency in case appropriate
(126)	BANK CHARGES (redemption)	Bank charges incurred when payment of redemption is in foreign currency in case appropriate
(127)	BANK CHARGES (claims on unclaims)	Bank charges incurred when payment of claims on unclaims is in foreign currency in case appropriate
(128)	NET PAYMENT (claims on unclaims)	Payment of the DISTRIBUTED QTY/AMT less the applicable DVD/INT COLL FEE and BANK CHARGES
(129)	CA FEE (PREF. SHS)	Corporate Action Fee charged for the preference shares conversion

X-Ref	Field Name	Description
(130)	MARKET	Market short name assigned by HKSCC
(131)	ISIN	International Securities Identification Number of the stock