

NOMINEE FEES REFUND REPORT

Report ID	:	CCNPT06
Report Name	:	<i>Nominee Fees Refund Report</i>
Purpose	:	<p>The <i>Nominee Fees Refund Report</i> lists the information regarding the refund of the over-charged nominee fees in order to facilitate Participants in the reconciliation of nominee fees. The report is divided into two sections: Dividend Collection Fee Refund (Multi-counter) and Scrip Fee Refund (Multi-counter).</p> <p>Blank report will be generated for Shanghai market (MAMK) and Shenzhen market (SZMK).</p>
Section Content:	:	<p><u>I. DIVIDEND COLLECTION FEE REFUND (MULTI-COUNTER)</u></p> <p>Provides information on dividend payable date regarding the refund details of the over-charged dividend collection fee for multi-counter stocks.</p> <p><u>II. SCRIP FEE REFUND (MULTI-COUNTER)</u></p> <p>Provides information on scrip fee collection date regarding the refund details of the over-charged scrip fee for multi-counter stocks.</p>
Time Available	:	On each business day from the time when the report download function is available.
Frequency	:	Daily

Section 4.3
Report Description

This key refers to the *Nominee Fees Refund Report* sample 4.3.37d.

Field Description :

X-Ref	Field Name	Description
(1)	CCNPT06	Report ID for <i>Nominee Fee Refund Report</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)	MARKET	Market short name assigned by HKSCC
(7)	DATE	Date of the nominee activity
(8)	(variable)	Section heading
(9a)	STOCK	Stock code
(9b)	STOCK	Multi-counter stock codes and stock short names
(10)	ANCM	The Announcement Number for the corporate announcement
(11)	EVT NO	Event Number of the corresponding corporate announcement
(12)	REFERENCE NO	Unique reference number generated for the dividend
(13)	HLDG 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
(14)	DSTR CCY	Currency of the dividend distributed
(15)	RECEIVABLE AMOUNT	Amount of dividend receivable
(16)	DIVD COLL FEE COLLECT	Amount of dividend collection fee collected per event number
(17)	TOTAL	Total amount of dividend collection fee collected (i.e. sum of DIVD COLL FEE COLLECT of individual counter)
(18)	ACTUAL	Total amount of actual dividend collection fee
(19)	REFUND	Amount of dividend collection fee refunded (i.e. TOTAL – ACTUAL)
(20)	TOTAL DIVIDEND COLLECTION FEE REFUND AMOUNT IN (XXX)	Total amount of dividend collection fee refunded in a particular currency
(21)	COLL DATE BALANCE	Shareholding balance on scrip fee collection date
(22)	WTDL QTY (CONV)	Cumulative share quantity withdrawn for conversion and units redeemed since last scrip fee collection date

X-Ref	Field Name	Description
(23)	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
(24)	LAST COLL DATE BAL	Shareholding balance on last scrip fee collection date
(25)	SPECIAL DEP QTY	Special deposit quantity includes jumbo certificate deposits and book-entry deposits
(26)	SUBSCRIBED QTY	Number of shares subscribed from the Rush Scrip Fee Start Date until the subscription end date
(27)	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)
(28)	NET INCREASE	Net increase in shareholding: (Collection Date Balance + Withdrawal Quantity for Conversion) - (Last Collection Date Balance + Entitlement Quantity + Special Deposit Quantity + Scrip Fee Concession Quantity + Account Closing Net Balance)
(29)	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
(30)	A/C CLS NET BAL	Account closing net balance of terminated participant
(31)	NO. OF BOARD LOT INCREASE	Number of board lot increase since last scrip fee collection date
(32)	SCRIP FEE	Scrip fee charged due to the net increase of shareholding
(33)	CHRG CODE	Charge code: B = Book close; D = Deemed book close; E = Corporate action event
(34)	LAST COLL DT	Last scrip fee collection date
(35)	TOTAL	Total no. of board lot increase (i.e. sum of NO. OF BOARD LOT INCREASE of individual counter) Total amount of scrip fee (i.e. sum of SCRIP FEE of individual counter)
(36)	ACTUAL	Actual no. of board lot increase Actual scrip fee to be charged due to the actual net increase of shareholding
(37)	REFUND	Amount of scrip fee to be refunded (i.e. TOTAL – ACTUAL)

Section 4.3

Report Description

X-Ref	Field Name	Description
(38)	TOTAL SCRIP FEE REFUND	Total amount of scrip fee to be refunded