

SECTION 4.3

REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

(1) CCNPT01 (2) B03456

(3) CCASS COMPANY

HKSCC - CCASS

NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
(45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16

(5) RUN TIME : 19:54:52

PAGE : 1

(6) DATE : 08FEB16

(7) BENEFIT ENTITLEMENT / STRUCTURED PRODUCTS PAYMENT ELECTION

(8) ACTION TYPE	(9) INSTR.NO.	(10) STS	(11) ORIGINAL STOCK (46) ISIN	(12) HLDG TYPE	(13) INSTRUCTION SNAPSHOT TOTAL	(44) LP NO.	(14) ANCM. NO.	(15) EVT NO.	(16) ELECTED SHARES	(17) ACTION BY USER	TERL TIME
CHG (OLD)	R40000004	P	1108 YU HING LTD HK0000001108	H	25,000		A00000037	01 02	0 0	B0345602	RA69 17:09
CHG (NEW)	R40000004	P	1108 YU HING LTD HK0000001108	H	25,000		A00000037	01 02	15,000 10,000	B0345601	RA69 17:09
AUT	R40000004	A	1108 YU HING LTD HK0000001108	H	25,000	LP4000011	A00000037	01	15,000	B0345602	RA69 17:09
									02		10,000

(18) TOTAL NO. OF RECORDS ADDED : 0
 TOTAL NO. OF RECORDS CHANGED : 1
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CHANCELLED : 0

(7) TAKEOVER OFFER

(8) ACTION TYPE	(9) INSTR.NO.	(10) STATUS	(11) ORIGINAL STOCK (46) ISIN	(14) ANCM. NO.	(19) STK A/C	(20) TAKE-UP QTY	(17) ACTION BY USER	TERL TIME
ADD	R00000341	P	3210 WDL RESOURCES	A00000035	2	1,500	B0345601	RA68 15:17
AUT	R00000341	A	3210 WDL RESOURCES	A00000035	2	1,500	B0345602	RA68 15:17

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

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REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

(1) CCNPT01 (2) B03456
 (3) CCASS COMPANY

HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 19:56:13
 PAGE : 2

(6) DATE : 08FEB16

(7) WARRANT SUBSCRIPTION
 =====

(8) ACTION TYPE	(9) INSTR.NO.	(10) STATUS	(11) ORIGINAL STOCK (46) ISIN	(14) ANCM. NO.	(19) STK A/C	(21) SUBSCRIPTION QUANTITY	(17) ---- ACTION BY ---- USER TERL TIME
ADD	R00000361	P	2001 GRAND RESOURCES	A00000022	1	80,000	B0345601 RA68 18:06
AUT	R00000361	A	2001 GRAND RESOURCES	A00000022	1	80,000	B0345602 RA68 18:06
ADD	R00000362	P	2001 GRAND RESOURCES	A00000022	1	80,000	B0345601 RA68 18:07
AUT	R00000362	A	2001 GRAND RESOURCES	A00000022	1	80,000	B0345602 RA68 18:07
ADD	R00000363*	P	2002 SUPER N LTD	A00000025	1	80,000	B0345601 RA68 18:08
AUT	R00000363*	A	2002 SUPER N LTD	A00000025	1	80,000	B0345602 RA68 18:08
CAN	R00000362	C	2001 GRAND RESOURCES	A00000022	1	80,000	B0345601 RA9C 18:10

(18) TOTAL NO. OF RECORDS ADDED : 3
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 3
 TOTAL NO. OF RECORDS CANCELLED : 1

REMARKS: * INDICATES SUBSCRIPTION INSTRUCTION WITH CHATS PAYMENT

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(1)CCNPT01 (2)B03456
 (3)CCASS COMPANY

HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 19:56:13
 PAGE : 3

(6)DATE : 08FEB16

(7)RIGHTS / EXCESS RIGHTS SUBSCRIPTION

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(8) ACTION      (9)      (10) (11)ORIGINAL STOCK      (14)      (19)      SUBSCRIPTION      (21)      (17)
      TYPE      INSTR.NO.  STATUS (46)ISIN              ANCM. NO.  STK A/C      QUANTITY      ---- ACTION BY ----
      -----      -----      -----      -----      -----      -----      -----      -----
ADD      R00000234   P      2311 FUN UNLIMITED    A00000041      2      2,000      B0345601 AO61 09:17
ADD      R00000248   P      2341 INFINITY LIMITED  A00000054      1      2,000      B0345601 RA69 09:44
AUT      R00000248   A      2341 INFINITY LIMITED  A00000054      1      2,000      B0345602 RA69 09:45
  
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(18) TOTAL NO. OF RECORDS ADDED : 2
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

REMARKS: * INDICATES SUBSCRIPTION INSTRUCTION WITH CHATS PAYMENT

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REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

(1)CCNPT01 (2)B03456
 (3)CCASS COMPANY

HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 20:02:08
 PAGE : 4

(6) DATE : 08FEB16

(7) OPEN OFFER / EXCESS OPEN OFFER SUBSCRIPTION
 =====

(8) ACTION	(9)	(10)	(11) ORIGINAL STOCK	(14)	(19)	(21)	(17)		
TYPE	INSTR.NO.	STATUS	(46) ISIN	ANCM. NO.	STK A/C	SUBSCRIPTION QUANTITY	----	ACTION BY	----
-----	-----	-----	-----	-----	-----	-----	USER	TERL	TIME
ADD	R00000256	P	2411 DAIRY CO. LTD. HK0000002411	A00000111	2	1,555	B0345601	RA69	10:17
AUT	R00000256	A	2411 DAIRY CO. LTD. HK0000002411	A00000111	2	1,555	B0345602	RA69	10:18

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

REMARKS: * INDICATES SUBSCRIPTION INSTRUCTION WITH CHATS PAYMENT

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REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

(1) CCNPT01 (2) B03456		HKSCC - CCASS		(4) RUN DATE : 08FEB16		
(3) CCASS COMPANY		NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT		(5) RUN TIME : 20:02:08		
		(45) (MARKET-HONG KONG MK)		PAGE : 5		
(6) DATE : 08FEB16						
(7) CORPORATE VOTING						
=====						
(8) ACTION	(9) (19) INSTR.NO./ STOCK A/C	(47) "DEMAND POLL" ORIGINAL STOCK/ (11) ISIN (46) NO. IN PROXY FORM (48)	(14) ANCM NO. (49) DESCRIPTION SUMMARY IN THE PROXY FORM (23) "FOR" (32) NAME OF CORP REP / PROXY (33) ADDRESS OF PROXY (35) PROXY "FOR"	(10) STATUS (24) "AGAINST" (25) "ABSTAIN/WITHHOLD" (55) STATUS OF CR/P (34) SHARE QTY OF CR/P (37) PROXY "ABSTAIN/WITHHOLD"	(26) "NON VOTED" ----- ACTION BY ----- USER TERL TIME (38) PROXY "NON VOTED"	
AUT	R00002164	2168 LAI MAN INTL HK0083000502 AA.BB.CC.1	A00001836 RES.A	A	112,347	B0345601 0138 13:28
		11,219	8,407	2,812	658	1,470
		BB.CC.DD.2	RES.B		380	14,567
		2,036	6,200	1,200		
		CC.DD.EE.3	RES.C		1,123	19,974
		0	1,250	0		
AUT	R00002164	2168 LAI MAN INTL 21 HK0083000502	A00001836	A		B0345601 0138 13:29
		MR CHAN TAI MAN NO.123 GOODWILL TOWER HONG KONG		A	200	
AUT	R00002164	2168 LAI MAN INTL HK0083000502	A00001836	A		B0345601 0138 13:29
		MS CHA SIU YAN NO.123 GOODWILL TOWER HONG KONG		A	165	
(18)						
TOTAL NO. OF RECORDS ADDED : 0						
TOTAL NO. OF RECORDS CHANGED : 0						
TOTAL NO. OF RECORDS DELETED : 0						
TOTAL NO. OF RECORDS AUTHORIZED : 1						
TOTAL NO. OF RECORDS CANCELLED : 0						
(39)						
TOTAL NO. OF CORPORATE REPRESENTATIVE/PROXY RECORDS ADDED : 0						
TOTAL NO. OF CORPORATE REPRESENTATIVE/PROXY RECORDS CHANGED : 0						
TOTAL NO. OF CORPORATE REPRESENTATIVE/PROXY RECORDS DELETED : 0						
TOTAL NO. OF CORPORATE REPRESENTATIVE/PROXY RECORDS AUTHORIZED : 2						
TOTAL NO. OF CORPORATE REPRESENTATIVE/PROXY RECORDS CANCELLED : 0						

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REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

(1) CCNPT01 (2) B03456
 (3) CCASS COMPANY

HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 20:02:30
 PAGE : 6

(6) DATE : 08FEB16

(7) BOND / PREF.SHS CONVERSION

(8) ACTION TYPE	(9) INSTR.NO.	(10) STATUS	(11) ORIGINAL STOCK (46) ISIN	(14) ANCM. NO.	(19) STK A/C	(28) CONVERSION QTY	(17) ---- ACTION BY ----		
							USER	TERL	TIME
ADD	R00000054	P	1001 YOUME LTD HK0000001001	A00000007	1	3,000	B0345601	RA69	11:05
ADD	R00000055	P	1001 YOUME LTD HK0000001001	A00000007	1	3,500	B0345601	RA69	11:06
DEL	R00000054	P	1001 YOUME LTD HK0000001001	A00000007	1	3,000	B0345601	RA69	11:06
AUT	R00000055	A	1001 YOUME LTD HK0000001001	A00000007	1	3,500	B0345602	RA69	11:08

(18) TOTAL NO. OF RECORDS ADDED : 2
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 1
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

REMARKS: * INDICATES SUBSCRIPTION INSTRUCTION WITH CHATS PAYMENT

(7) WARRANT SUBSCRIPTION WITH BOND CONVERSION

(8) ACTION TYPE	(9) INSTR.NO.	(10) STATUS	(11) / (29) / (46)	(14) ANCM. NO.	(19) STK A/C	SUBSCRIPTION QTY/ BOND QUANTITY(30)	(17) ---- ACTION BY ----		
			ORIGINAL STOCK / BOND / ISIN				USER	TERL	TIME
ADD	R00000139	P	1020 SHEME CO 1022 TOBICAL LTD	A00000024	1	12,000	B0345601	RA69	12:59
AUT	R00000139	A	1020 SHEME CO 1022 TOBICAL LTD	A00000024	1	12,606	B0345602	RA69	1:10

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

REMARKS: * INDICATES SUBSCRIPTION INSTRUCTION WITH CHATS PAYMENT

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(1)CCNPT01 (2)B03456
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 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 20:02:50
 PAGE : 7

(6) DATE : 08FEB16

(7) REDEMPTION
 =====

(8) ACTION TYPE	(9) INSTR.NO.	(10) STATUS	(11) ORIGINAL STOCK (46) ISIN	(14) ANCM. NO.	(19) STK A/C	(31) REDEMPTION QTY	(17) ---- ACTION BY ----		
							USER	TERL	TIME
ADD	R00000289	P	1545 GRANDBOO HK0000001545	A00008631	1	5,000	B0345601	RA69	10:18
CHG(OLD)	R00000289	P	1545 GRANDBOO HK0000001545	A00008631	1	5,000	B0345601	RA69	10:19
CHG(NEW)	R00000289	P	1545 GRANDBOO HK0000001545	A00008631	1	7,000	B0345601	RA69	10:19
AUT	R00000289	A	1545 GRANDBOO HK0000001545	A00008631	1	7,000	B0345602	RA69	10:22

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 1
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

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(1)CCNPT01 (2)B03456
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 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 20:02:50
 PAGE : 8

(6) DATE : 08FEB16

(7) UNIT TRUST CREATION/REDEMPTION
 =====

(8) ACTION TYPE	(40) ORDER NO.	(41) ORDER TYPE	(10) STATUS	(11) STOCK (46) ISIN	(42) STK A/C	(43) ORDER QUANTITY	(17) ---- ACTION BY ----		
							USER	TERL	TIME
ADD	R00000333	C	PEND	2800 HKITF TRUST	1	8,000,000	B0345601	RA69	10:21
CHG(OLD)	R00000333	C	PEND	2800 HKITF TRUST	1	8,000,000	B0345601	RA69	10:28
CHG(NEW)	R00000333	C	PEND	2800 HKITF TRUST	1	9,000,000	B0345601	RA69	10:28
AUT	R00000333	C	AUTH	2800 HKITF TRUST	1	9,000,000	B0345602	RA69	10:35

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 1
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0
 TOTAL NO. OF RECORDS ACCEPTED : 0
 TOTAL NO. OF RECORDS REJECTED : 0
 TOTAL NO. OF RECORDS COMPLETED : 0
 TOTAL NO. OF RECORDS UNWINDED : 0

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(1)CCNPT01 (2)B03456
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 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 20:02:50
 PAGE : 8

(6) DATE : 08FEB16

(7) INTRA-DAY PAYMENT STANDING INSTRUCTION

(8) ACTION TYPE	(50) CURRENCY	(51) NOMINEES PAYMENT	(52) RFD OVERPAID CASH PREPAYMENT	(54) CNS MONEY OBLIGATIONS	(53) PAYMENT AMOUNT THRESHOLD	(10) STATUS	(17) ---- ACTION BY ---- USER TERL TIME		
ADD	HKD	Y	N	Y	8,000,000.00	P	B0345601	RA69	10:21
CHG (OLD)	HKD	Y	N	Y	8,000,000.00	P	B0345601	RA69	10:28
CHG (NEW)	HKD	Y	Y	Y	8,000,000.00	P	B0345601	RA69	10:28
AUT	HKD	Y	Y	Y	8,000,000.00	A	B0345602	RA69	10:35

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 1
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

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REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

(1)CCNPT01 (2)B03456
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NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
(45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
(5) RUN TIME : 20:02:50
PAGE : 8

(6) DATE : 08FEB16

(7) NOMINEE PAYMENT (EVENING) STANDING INSTRUCTION

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(8) ACTION	(50)	(51)	(10)	(17)		
TYPE	CURRENCY	NOMINEES PAYMENT	STATUS	----	ACTION BY	----
-----	-----	-----	-----	USER	TERL	TIME
ADD	HKD	Y	P	B0345601	RA69	11:21
AUT	HKD	Y	A	B0345602	RA69	11:35

(18) TOTAL NO. OF RECORDS ADDED : 1
TOTAL NO. OF RECORDS CHANGED : 0
TOTAL NO. OF RECORDS DELETED : 0
TOTAL NO. OF RECORDS AUTHORIZED : 1
TOTAL NO. OF RECORDS CANCELLED : 0

*** END OF REPORT ***