

SECTION 4.3
 REPORT SAMPLE 4.3.37d – NOMINEE FEES REFUND REPORT

(1) CCNPT06 (2)B03456
 (3) CCASS COMPANY

HKSCC - CCASS
 NOMINEE FEES REFUND REPORT
 (6) (MARKET - HONG KONG MK)

(4) RUN DATE : 20JAN13
 (5) RUN TIME : 20:27:38
 PAGE : 1

(7) DATE : 20JAN13

(8) DIVIDEND COLLECTION FEE REFUND (MULTI-COUNTER)

=====

(9a)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
STOCK/ANCM/EVT NO	REFERENCE NO	HLDG TYPE	DSTR	CCY	RECEIVABLE AMOUNT	DIVD COLL	FEE COLLECT

(9b) STOCK : 734 XYZ CO-HKD 80734 XYZ CO-RMB

734	A00199998	02	N18934267	HOLD	CNY	100,000,000.00	8,000.00
			N19263721	POSN	CNY	5,000,000.00	
80734	A00199999	02	N18934587	HOLD	CNY	20,000,000.00	8,000.00
			N19269278	POSN	CNY	2,000,000.00	

(17) TOTAL (CNY) : 16,000.00
 (18) ACTUAL (CNY) : 8,000.00
 (19) REFUND (CNY) : 8,000.00

734	A00199998	01	N18935123	HOLD	HKD	200,000,000.00	10,000.00
			N19264836	POSN	HKD	2,000,000.00	
80734	A00199999	01	N18935713	HOLD	HKD	80,000.00	96.72
			N19269478	POSN	HKD	600.00	

TOTAL (HKD) : 10,096.72
 ACTUAL (HKD) : 10,000.00
 REFUND (HKD) : 96.72

(9b) STOCK : 932 CDF CO-HKD 80932 CDF CO-RMB

932	A00299998	01	N19872468	HOLD	HKD	900,000.00	1,080.00
80932	A00299999	01	N19893742	HOLD	HKD	900,000,000.00	10,000.00

TOTAL (HKD) : 11,080.00
 ACTUAL (HKD) : 10,000.00
 REFUND (HKD) : 1,080.00

(20) TOTAL DIVIDEND COLLECTION FEE REFUND AMOUNT IN (CNY) : 8,000.00
 TOTAL DIVIDEND COLLECTION FEE REFUND AMOUNT IN (HKD) : 1,176.72

SECTION 4.3
 REPORT SAMPLE 4.3.37d – NOMINEE FEES REFUND REPORT

(1) CCNPT06 (2)B03456
 (3) CCASS COMPANY

HKSCC - CCASS
 NOMINEE FEES REFUND REPORT
 (6) (MARKET - HONG KONG MK)

(4) RUN DATE : 20JAN13
 (5) RUN TIME : 20:27:38
 PAGE : 2

(7) DATE : 20JAN13

(8) SCRIP FEE REFUND (MULTI-COUNTER)
 =====

(9a) STOCK	(21) COLL DATE WTDL QTY (CONV)	(23) / (24) RUSH S.F.ST DTE-1/ LAST COLL DATE BAL SPECIAL DEP QTY (25)	(26) / (27) SUBSCRIBED QTY/ ENTITLEMENT QTY NET INCREASE (28)	(29) (30) SCRIP FEE CONCESSION QTY A/C CLS NET BAL	(31) NO. OF BOARD LOT INCREASE	(32) SCRIP FEE
(9b) STOCK :	523 ABC CO-HKD	80523 ABC CO-RMB				
(33) CHRG CODE : B	(34) LAST COLL DT : 18DEC12					
523	1,000,000	100,000	2,000	1,000	888	1,332.00
	1,000	10,000	888,000	0		
80523	1,000	2,000,000	1,000	0	0	0.00
	500	0	0	0		
				(35) TOTAL :	888	1,332.00
				(36) ACTUAL :	0	0.00
				(37) REFUND :		1,332.00
(9b) STOCK :	624 QRS CO-HKD	80624 QRS CO-RMB				
(33) CHRG CODE : B	(34) LAST COLL DT : 20DEC12					
624	2,000,000	500,000	100,000	50,000	2,330	3,495.00
	1,000,000	20,000	2,330,000	0		
80624	1,000,000	2,500,000	50,000	0	0	0.00
	100,000	400,000	0	0		
				TOTAL :	2,330	3,495.00
				ACTUAL :	480	720.00
				REFUND :		2,775.00
			(38) TOTAL SCRIP FEE REFUND :			4,107.00

*** END OF REPORT ***