

**SECTION 4.3**  
**REPORT SAMPLE 4.3.38**

(1)CCNVT08(2)B11668  
 (3)GOODWILL & COMPANY

HKSCC - CCASS  
 CRP BATCH INPUT CONTROL REPORT

(4)RUN DATE : 04FEB16  
 (5)RUN TIME : 10:26:36  
 PAGE : 1

(6) TRANSMISSION DATE : 05FEB16

(7) PROCESSING TIME : 22:34:56

(8) FILE REFERENCE : PART OWN FILE

-----EXCEPTIONS-----

DETAIL RECORD		(17)	(19) & (20)	(21)		
(9) RECORD INSTR NO./	(16)	(22) & (23) ADDRESS	(25) AGAINST	(26) ABSTAIN/WITHHOLD	(27) NON VOTED	(28) CONTROL TOTAL
TYPE	RES.NO.	(24) FOR	(25) AGAINST	(26) ABSTAIN/WITHHOLD	(27) NON VOTED	(28) CONTROL TOTAL

ERROR MESSAGES : -5366 EVENT DOES NOT EXIST

1	R40000466	MS	CONNIA NG NO. 20 TAI WO STREET TAI PO N.T.			000000003400
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ERROR MESSAGES : +7057 PARTICIPANT INSTRUCTION NOT FOUND  
 -7112 INVALID ANNOUNCEMENT  
 -5366 EVENT DOES NOT EXIST

1	R40000466	MR	IONA LEUNG NO. 12 TAI HO STREET TAI PO N.T.			0000000045000
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ERROR MESSAGES : +7057 PARTICIPANT INSTRUCTION NOT FOUND  
 -7112 INVALID ANNOUNCEMENT  
 -5366 EVENT DOES NOT EXIST

-----SUMMARY OF CONTROL TOTALS-----

	(32A) / (33A) / (34A) PROCESSED	(32B) / (33B) / (34B) ACCEPTED	(32C) / (33C) / (34C) REJECTED
(32) TOTAL NO. OF ATTENDEE	17	1	16
(33) TOTAL CORP REP/PROXY HOLDING	626,400	2,400	624,000
(34) TOTAL NO. OF UPLOADED	24	1	23
(35) TOTAL NO. OF FILES UPLOADED :	5		

\*\*\* END OF REPORT \*\*\*

**SECTION 4.3**  
**REPORT SAMPLE 4.3.38**

The whole Corporate Representative/Proxy Batch Input file rejected

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(1)CCNVT08(2)B11668                                HKSCC - CCASS                                (4)RUN DATE : 04FEB16
(3)GOODWILL & COMPANY                            CRP BATCH INPUT CONTROL REPORT                (5)RUN TIME : 08:39:27
                                                PAGE : 1
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(6) TRANSMISSION DATE : 05FEB16                      (7) PROCESSING TIME : 22:18:06                      (8) FILE REFERENCE : C04900UPLFILED7

-----EXCEPTIONS-----

CONTROL HEADER  
=====

(9)RECORD TYPE	(10) PARTICIPANT ID	(11) FILE REFERENCE	(12) TRANSMISSION DATE	(13) FILE NAME
0	C04900	C04900UPLFILED7	19991227	CRP BATCH INPUT

(14)ERROR MESSAGES : -5311 PARTICIPANT ID NOT MATCH WITH DRIVER FILE

-----SUMMARY OF CONTROL TOTALS-----

\*\*\* THE WHOLE INTERFACE FILE IS REJECTED \*\*\*

\*\*\* END OF REPORT \*\*\*

**SECTION 4.3**  
REPORT SAMPLE 4.3.38

The whole Corporate Representative/Proxy Batch Input file rejected

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(1)CCNVT08(2)B11668                                HKSCC - CCASS                                (4)RUN DATE : 08FEB16
(3)GOODWILL & COMPANY                                CRP BATCH INPUT CONTROL REPORT                (5)RUN TIME : 14:20:20
                                                    PAGE : 1

(6) TRANSMISSION DATE : 29DEC16                    (7) PROCESSING TIME : 14:20:14                (8) FILE REFERENCE : B11668UPLFILED7

-----EXCEPTIONS-----
CONTROL TRAILER
=====
(9)RECORD TYPE  TOTAL NO. OF DETAIL RECORDS  (29)  CONTROL TOTAL SUM  (30)
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      3              0002              000000000000000000
(14)ERROR MESSAGES : -5325  TRANSFER QUANTITY SUM NOT CORRECT
(31)INVALID RECORD : DETAIL 1 RECORD MISSING

-----SUMMARY OF CONTROL TOTALS-----

*** THE WHOLE INTERFACE FILE IS REJECTED ***

*** END OF REPORT ***
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**SECTION 4.3**  
**REPORT SAMPLE 4.3.38**

The whole Corporate Representative/Proxy Batch Input file rejected

(1)CCNVT08(2)B11668	HKSCC - CCASS		(4)RUN DATE : 24FEB16
(3)GOODWILL & COMPANY	CRP BATCH INPUT CONTROL REPORT		(5)RUN TIME : 18:55:21
			PAGE : 1
(6) TRANSMISSION DATE : 30JUN16	(7) PROCESSING TIME : 18:55:06	(8) FILE REFERENCE : PB04902UPFD18R1	
-----EXCEPTIONS-----			
DETAIL RECORD			
=====	(17)	(19) & (20)	
(15) VOTING	CRP	CORPORATE REPRESENTATIVE/PROXY	(21)
(9) RECORD INSTR NO./	IND/	FULL NAME	CORP REP./PROXY HOLDING/
(16)	(22) & (23)	ADDRESS	
TYPE	RES.NO.	(24) FOR	(25) AGAINST
		(26) ABSTAIN/WITHHOLD	(27) NON VOTED
			(28) CONTROL TOTAL
1	R40027373	P MR	LO TIM - REJECTED
			INSTR NO. FOR NO CR/P
			1/F
			TIM HOUSE
			SHEUNG WAN
			HK
(14) ERROR MESSAGES :	-7101	NO INSTRUCTION NO.	
-----SUMMARY OF CONTROL TOTALS-----			
*** THE WHOLE INTERFACE FILE IS REJECTED ***			
*** END OF REPORT ***			