

**SECTION 4.3
REPORT SAMPLE 4.3.37G: PARTICIPANT SHAREHOLDING CATEGORY DISCLOSURE EXCEPTION REPORT –
BEFORE VOTING DEADLINE (CCNPT09)**

Sample 1

(1)CCNPT09	(2)B00512	HKSCC - CCASS		(4)RUN DATE : 12JUL17
(3)Goodwill & Company	PARTICIPANT SHAREHOLDING CATEGORY DISCLOSURE EXCEPTION REPORT		(5)RUN TIME : 20:20:00	
		BEFORE VOTING DEADLINE		PAGE : 1
		(MARKET - SHANGHAI MARKET)		
(6)DATE : 12JUL17				
(7) STOCK	: 90469 AEOLUS TYRE CO LTD	(8)ANNOUNCEMENT NO.	: A00212972	
(9) MEETING DATE	: 14 JUL 17	(10)VOTING END DATE / TIME	: 13 JUL 17 / 16:15	
(11)SHAREHOLDING DATE	: 03 JUL 17	(12)HOLDINGS AS OF SHAREHOLDING DATE	: 1,000,000	
(13)MEETING TYPE	: AGM	(14)THE TOTAL NUMBER OF A SHARES	: 500,000,000	
(15)SHARE PERCENTAGE	: 0.20	LISTED & TRADED ON THE SSE	: 500,000,000	

(16) NO. IN PROXY FORM	(17) VOTING PREFERENCE	(18) VOTED QUANTITY	(19) CATEGORY	(20) DISCLOSED QUANTITY	(21) CATEGORY A QUANTITY	(22) REASON CODE
1	FOR	600,000	B	700,000		1
			E	800,000	600,000	2
	AGAINST	400,000	C	600,000		1
			E	500,000	400,000	2
2	ABSTAIN/WITHHOLD	0	B	100,000		6
	FOR	700,000	B	700,000		3
			C	100,000		3
	AGAINST	300,000	B	400,000		3
3			C	300,000		3
	FOR	800,000	B	900,000		1
			E	1,000,000	800,000	2
	AGAINST	200,000	C	600,000		1
4			E	500,000	200,000	2
	ABSTAIN/WITHHOLD	0	B	100,000		6
	FOR	900,000	B	1,000,000		1
			E	1,000,000	900,000	2
	AGAINST	100,000	C	600,000		1
			E	200,000	100,000	2
	ABSTAIN/WITHHOLD	0	B	100,000		6

REASON CODE	DESCRIPTION
1	INVALID DISCLOSED QUANTITY, DISCLOSED QUANTITY > VOTED QUANTITY IN CORRESPONDING VOTING PREFERENCE
2	INVALID CATEGORY E, CATEGORY E QUANTITY > CATEGORY A QUANTITY IN CORRESPONDING VOTING PREFERENCE
3	INVALID CATEGORY B AND C; SUM OF CATEGORY B AND C QUANTITY > VOTED QUANTITY IN CORRESPONDING VOTING PREFERENCE
4	INVALID CATEGORY B, SHAREHOLDING ON RECORD DATE < 1 %
5	INVALID CATEGORY C, SHAREHOLDING ON RECORD DATE < 5 %
6	NO CORRESPONDING VALID VOTING INSTRUCTION FOUND

*The total number of A shares listed and traded on the SSE of the relevant SSE-listed company used for calculating the percentage of shareholding may not be equal to the actual total number of issued shares of that company.

*** END OF REPORT ***

SECTION 4.3
REPORT SAMPLE 4.3.37G: PARTICIPANT SHAREHOLDING CATEGORY DISCLOSURE EXCEPTION REPORT –
BEFORE VOTING DEADLINE (CCNPT09)

Sample 2

(1)CCNPT09	(2)E00512	HKSCC - CCASS		(4)RUN DATE : 12JUL17
(3)Goodwill & Company	PARTICIPANT SHAREHOLDING CATEGORY DISCLOSURE EXCEPTION REPORT		(5)RUN TIME : 20:20:00	
		BEFORE VOTING DEADLINE		PAGE : 1
		(MARKET - SHANGHAI MARKET)		
(6)DATE : 12JUL17				
(7) STOCK	: 90469 AEOLUS TYRE CO LTD	(8)ANNOUNCEMENT NO.	: A00212972	
(9) MEETING DATE	: 14 JUL 17	(10)VOTING END DATE / TIME	: 13 JUL 17 / 16:15	
(11)SHAREHOLDING DATE	: 03 JUL 17	(12)HOLDINGS AS OF SHAREHOLDING DATE	: 1,000,000	
(13)MEETING TYPE	: AGM	(14)THE TOTAL NUMBER OF A SHARES	: 500,000,000	
(15)SHARE PERCENTAGE	: 0.20	LISTED & TRADED ON THE SSE	: 500,000,000	

(16) NO. IN PROXY FORM	(17) VOTING PREFERENCE	(18) VOTED QUANTITY	(19) CATEGORY	(20) DISCLOSED QUANTITY	(21) CATEGORY A QUANTITY	(22) REASON CODE
1	FOR	600,000	B	300,000		4
			C	300,000		5
	AGAINST	300,000	B	150,000		4
			C	150,000		5
	ABSTAIN/WITHHOLD	100,000	B	50,000		4
			C	50,000		5
2	FOR	800,000	B	400,000		4
			C	400,000		5
	AGAINST	100,000	B	50,000		4
			C	50,000		5
	ABSTAIN/WITHHOLD	100,000	B	50,000		4
			C	50,000		5
3	FOR	700,000	B	400,000		4
			C	300,000		5
	AGAINST	200,000	B	100,000		4
			C	100,000		5
	ABSTAIN/WITHHOLD	100,000	B	50,000		4
			C	50,000		5

REASON CODE	DESCRIPTION
1	INVALID DISCLOSED QUANTITY, DISCLOSED QUANTITY > VOTED QUANTITY IN CORRESPONDING VOTING PREFERENCE
2	INVALID CATEGORY E, CATEGORY E QUANTITY > CATEGORY A QUANTITY IN CORRESPONDING VOTING PREFERENCE
3	INVALID CATEGORY B AND C; SUM OF CATEGORY B AND C QUANTITY > VOTED QUANTITY IN CORRESPONDING VOTING PREFERENCE
4	INVALID CATEGORY B, SHAREHOLDING ON RECORD DATE < 1 %
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6	NO CORRESPONDING VALID VOTING INSTRUCTION FOUND

*The total number of A shares listed and traded on the SSE of the relevant SSE-listed company used for calculating the percentage of shareholding may not be equal to the actual total number of issued shares of that company.

*** END OF REPORT ***