

## Participant Shareholding Category Disclosure Exception Report - Before Voting Deadline

<b>Report ID</b>	:	CCNPT09
<b>Report Name</b>	:	<i>Participant Shareholding Category Disclosure Exception Report – Before Voting Deadline</i>
<b>Market Specific:</b>		For MAMK and SZMK only
<b>Purpose</b>	:	<p>Shareholding category disclosure instruction record will be preliminarily validated against the voted quantity and the total number of A shares listed and traded on the SSE/SZSE one CCASS date before the voting end date (i.e. CCASS stated deadline), and the invalid shareholding category disclosure instruction records will be shown in the report. The descriptions of the validations are listed as follows:</p> <ol style="list-style-type: none"><li>1. If category B or C &gt; corresponding voted quantity, the Category B or C will be cancelled. Category A will be used as the default category for disclosure to the issuer.</li><li>2. If category E &gt; corresponding voted quantity under category A, the Category E will be cancelled. Category D will be used as the default category for disclosure.</li><li>3. When both category B and C are input, if the sum of category B and C &gt; corresponding voted quantity, both Category B and C will be cancelled. Category A will be used as the default category for disclosure to the issuer.</li><li>4. If the participant's shareholding as at record date &lt; 1%, Category B (if any) will be cancelled. Category A will be used as the default category for disclosure to the issuer.</li><li>5. If the participant's shareholding as at record date &lt; 5%, Category C (if any) will be cancelled. Category A will be used as the default category for disclosure to the issuer.</li><li>6. If no corresponding "authorised voting instruction" is found in HKSCC system, all category records (B, C and E) will be cancelled.</li></ol> <p>*Note: "Corresponding Voted Quantity" =Voting instruction given by CCASS Participants for the related Meeting*</p> <p>Participants should refer to this report available one CCASS date before the voting end date (i.e. CCASS stated deadline) and, if applicable, shall re-input the relevant disclosure instructions by the voting end day before 4:15 p.m. (i.e. CCASS stated deadline).</p> <p>Separate reports will be generated to show the Shareholding Category Disclosure maintenance activities for Shanghai market (MAMK) and Shenzhen market (SZMK).</p>
<b>Time available</b>	:	Normally around 8:45 p.m. for Shanghai Market and 9:15 p.m. for Shenzhen Market (for Shareholding Category Disclosure instructions to be cancelled).
<b>Frequency</b>	:	Daily

This key refers to the *Participant Shareholding Category Disclosure Exception Report - Before Voting Deadline* 4.3.37g.

## Section 4.3

### Report Description

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#### Field Description:

X-Ref	Field Name	Description
(1)	CCNPT09	Report ID for <i>Participant Shareholding Category Disclosure Exception Report – Before Voting Deadline</i>
(2)	B00512	Participant ID
(3)	GOODWILL & COMPANY	Participant full name
(4)	RUN DATE	Date of running the report
(5)	RUN TIME	Time of running the report
(6)	DATE	Date of activity
(7)	STOCK	Stock code and stock name of the corresponding voting announcement
(8)	ANNOUNCEMENT NO.	Announcement No. of the corresponding voting announcement
(9)	MEETING DATE	The date of meeting of the corresponding meeting
(10)	VOTING END DATE / TIME	Voting deadline, end date and end time to submit as specified by HKSCC
(11)	SHAREHOLDING DATE	Shareholding as of date of the voting amount
(12)	HOLDING AS OF SHAREHOLDING DATE	Shareholdings as of record date, or shareholding date
(13)	MEETING TYPE	Meeting type such as <ul style="list-style-type: none"><li>➤ Annual General Meeting (AGM)</li><li>➤ Extraordinary General Meeting (EGM)</li><li>➤ Special General Meeting (SGM)</li><li>➤ Class Meeting (CLS)</li><li>➤ Court Meeting (CRT)</li><li>➤ Warrantholders' Meeting (WRT)</li></ul>
(14)	THE TOTAL NUMBER OF A SHARES LISTED AND TRADED ON THE SSE/SZSE	The total of a company's shares that are listed and traded on Shanghai Stock Exchange/ Shenzhen Stock Exchange
(15)	SHARE PERCENTAGE	The percentage of issued shares capital held by CCASS Participants
(16)	NO. IN PROXY FORM	Reference number displayed in the proxy form for each resolution
(17)	VOTING PREFERENCE	Choice of voting in shareholder meeting
(18)	VOTED QUANTITY	Voting instruction given on specified voting preference
(19)	CATEGORY	Category of Shareholding Disclosure
(20)	DISCLOSED QUANTITY	Disclosure instruction given for Shareholding Category
(21)	CATEGORY A QUANTITY	Disclosure quantity under Category A (i.e. A<1%)
(22)	REASON CODE	Reason for the invalid disclosure instruction