

## Report Data File Layout

### ENTITLEMENT STATEMENT

This file contains the data information of the *Entitlement Statement*. The record length is 283 bytes.

| <u>Data Item</u>                 | <u>Data Size</u> | <u>Remarks</u>   |
|----------------------------------|------------------|--|
| <b>Control Record :</b>          |                  |  |
| Record type                      | X(1)             | "A" = control header   |
| Participant ID                   | X(6)             |  |
| Report ID                        | X(7)             | "CCNPT02"  |
| Report file name                 | X(15)            | "ENTITLEMNT STMT"  |
| CCASS date                       | 9(8)             | YYYYMMDD   |
| Market code                      | X(4)             |  |
| Filler                           | X(239)           | Spaces   |
| Filler                           | X(3)             | Reserved for system use  |
| <b>Detail Record :</b>           |                  |  |
| <i>Corporate Action Reminder</i> |                  |  |
| Record type                      | X(1)             | "K" = Corporate Action<br>Reminder                                   |
| Effective date                   | 9(8)             | YYYYMMDD   |
| Stock code                       | 9(5)             |  |
| ISIN                             | X(12)            |  |
| Announcement number              | X(9)             |  |
| Announcement summary 1           | X(40)            |  |
| Announcement summary 2           | X(40)            |  |
| Event sequential number          | 9(2)             |  |
| Event summary                    | X(40)            |  |
| Record checksum                  | 9(17)            | Sum of Eff date, Stk cd & Evt<br>no                                  |
| Filler                           | X(106)           | Spaces   |
| Filler                           | X(3)             | Reserved for system use  |
| <b>Detail Record :</b>           |                  |  |
| <i>Scrip Fee</i>                 |                  |  |
| Record type                      | X(1)             | "L" = Scrip Fee  |
| Stock code                       | 9(5)             |  |
| ISIN                             | X(12)            |  |
| Charge code                      | X(1)             | "B" for Book-close<br>"D" for Deemed Book-close<br>"E" for other evt |
| Last scrip fee collection date   | 9(8)             | YYYYMMDD   |
| New Collection Date Balance      | 9(13)            |  |

## Section 4.4

### Report Data Files Layout

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| <u>Data Item</u>   | <u>Data Size</u> | <u>Remarks</u>  |
|--|------------------|---|
| Sign of New Collection Date Balance                              | X(1)             | "-" = negative<br>blank = 0 or positive   |
| Last Collection Date Balance/Rush Scrip Fee Date Balance         | 9(13)            |   |
| Sign of Last Collection Date Balance/Rush Scrip Fee Date Balance | X(1)             | "-" = negative<br>blank = 0 or positive   |
| Net Increase   | 9(13)            | For scrip fee:<br>= New coll date bal - Last coll date bal - Etlm qty - Wdtl for Conv qty - Spec dep qty - scrip fee concession qty<br>For rush scrip fee:<br>= Sub qty - Rush scp fee date bal               |
| Sign of Net Increase   | X(1)             | "-" = negative<br>blank = 0 or positive   |
| Entitlement quantity/Subscribe quantity                          | 9(13)            |   |
| Sign of Entitlement quantity/Subscribe quantity                  | X(1)             | "-" = negative<br>blank = 0 or positive   |
| Withdrawal for Conversion quantity                               | 9(11)            |   |
| Sign of Withdrawal for Conversion quantity                       | X(1)             | "-" = negative<br>blank = 0 or positive   |
| Special deposit quantity   | 9(13)            |   |
| Sign of Special deposit quantity                                 | X(1)             | "-" = negative<br>blank = 0 or positive   |
| Board lot increased  | 9(13)            |   |
| Scrip fee  | 9(8)V9(2)        |   |
| Scrip fee concession quantity                                    | 9(13)            |   |
| Sign of scrip fee concession quantity                            | X(1)             | "-" = negative<br>blank = 0 or positive   |
| Previous Part ID   | X(6)             | Part ID before membership change  |
| Record checksum  | 9(17)            | Sum of Stk cd, Lt scp fee coll date, New coll date bal, Lt coll date Bal/Rush scp fee date bal, Net inc, Etlm qty/Sub qty, Wdtl for conv qty, Spec dep qty, Scrip fee concession qty, Board lot inc & Scp fee |
| Filler   | X(111)           | Spaces  |
| Filler   | X(3)             | Reserved for system use   |
| <b>Detail Record :</b>   |                  |   |
| <i>Corporate Action Fee</i>                                      |                  |   |
| Record type  | X(1)             | "M" = Corporate Action Fee  |
| Stock code   | 9(5)             |   |
| ISIN   | X(12)            |   |
| Announcement number  | X(9)             |   |

| <u>Data Item</u>               | <u>Data Size</u> | <u>Remarks</u>   |
|--------------------------------|------------------|--|
| Announcement type              | X(2)             |  |
| Collection date                | 9(8)             | YYYYMMDD   |
| Stock account number           | X(8)             |  |
| Original shareholding quantity | 9(11)            |  |
| Number of board lot            | 9(11)            |  |
| Corporate action fee           | 9(7)V9(2)        |  |
| Record checksum                | 9(17)            | Sum of Stk cd, Coll date,<br>Orig shrhldg, No of board lot<br>& Corp Act fee |
| Filler                         | X(187)           | Spaces   |
| Filler                         | X(3)             | Reserved for system use  |

**Detail Record :**

*Benefit Entitlement*

|  |            |   |
|--|------------|---|
| Record type                            | X(1)       | "B" = Benefit Entitlement   |
| Original stock code                    | 9(5)       |   |
| ISIN                                   | X(12)      |   |
| Reference number                       | X(9)       |   |
| Holding type                           | X(1)       | "H" - holding<br>"P" - CNS position<br>"R" - receivable<br>"S" - SBL position   |
| Receivable type                        | X(1)       | "C" = cancelled<br>"P" = preliminary<br>"F" = final<br>"T" = to be advised      |
| Warrant Code                           | 9(5)       | 0 if entitlement is not from<br>warrant subscription                            |
| Original shareholding quantity         | 9(13)      |   |
| Sign of original shareholding quantity | X(1)       | "-" = negative<br>blank = 0 or positive   |
| Stock/currency code flag               | X(1)       | "S" - share etlm<br>"C" - cash etlm   |
| Distributed currency                   | X(3)       | blank if Stk/ccy fg = "S"   |
| Receivable amount                      | 9(13)V9(2) | 0.00 if Stk/ccy fg = "S"<br>0.00 = To be determined (if<br>Recv type = "C"/"P") |
| Sign of receivable amount              | X(1)       | blank if stk/ccy fg = "S"<br>"-" = negative<br>blank = 0 or positive            |
| Distributed stock code                 | 9(5)       | 0 if stk/ccy fg = "C"   |
| ISIN                                   | X(12)      | 0 if stk/ccy fg = "C"   |
| Receivable quantity                    | 9(13)      | 0 if stk/ccy fg = "C"<br>0 = To be determined<br>(if Recv type = "C"/"P")       |

**Section 4.4**  
Report Data Files Layout

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| <u>Data Item</u>                       | <u>Data Size</u> | <u>Remarks</u>  |
|--|------------------|---|
| Sign of receivable quantity            | X(1)             | blank if stk/ccy fg = "C"<br>"-" = negative<br>blank = 0 or positive  |
| Announcement number                    | X(9)             |   |
| Event sequential number                | 9(2)             |   |
| Dividend collection fee                | 9(7)V9(2)        | 0.00 if stk/ccy fg = "S"  |
| Bank charges                           | 9(7)V9(2)        | 0.00 if stk/ccy fg = "S"  |
| Net amount payment                     | 9(13)V9(2)       | 0.00 if stk/ccy fg = "S"  |
| Sign of net amount payment             | X(1)             | blank if stk/ccy fg = "S"<br>"-" = negative<br>blank = 0 or positive  |
| Net quantity payment                   | 9(13)            | 0.00 if stk/ccy fg = "C"  |
| Sign of net quantity payment           | X(1)             | blank if stk/ccy fg = "C"<br>"-" = negative<br>blank = 0 or positive  |
| Book close from date                   | 9(8)             | YYYYMMDD  |
| Book close to date                     | 9(8)             | YYYYMMDD  |
| Second ex-dividend date                | 9(8)             | YYYYMMDD  |
| Payable date                           | 9(8)             | YYYYMMDD  |
| Event summary                          | X(40)            |   |
| SBL Position Number                    | X(9)             | blank if Holding type =<br>'H'/'P'/'R'  |
| Record checksum                        | 9(17)            | sum of orig stk, warrant<br>code, orig shrhldg, recv amt,<br>dstr stk, recv qty, evt no, dvd<br>coll fee, bank chrg, net qty<br>pymt, net amt pymt, book<br>close fr dt, book close to dt,<br>second ex-divd dt, payable dt |
| Filler                                 | X(24)            | Spaces  |
| Filler                                 | X(3)             | Reserved for system use   |
| <b>Detail Record :</b>                 |                  |   |
| <i>Exchange of Shares</i>              |                  |   |
| Record type                            | X(1)             | "C" = Exchange of Share   |
| Original stock code                    | 9(5)             |   |
| ISIN                                   | X(12)            |   |
| Holding type                           | X(1)             | "H" - holding<br>"P" - CNS position<br>"R" - receivable<br>"S" - SBL position   |
| Receivable type                        | X(1)             | "C" = cancelled<br>"P" = preliminary<br>"F" = final   |
| Original shareholding quantity         | 9(13)            |   |
| Sign of Original shareholding quantity | X(1)             | "-" = negative<br>blank = 0 or positive   |

| <u>Data Item</u>            | <u>Data Size</u> | <u>Remarks</u>   |
|-----------------------------|------------------|--|
| New stock code              | 9(5)             |  |
| ISIN                        | X(12)            |  |
| Receivable quantity         | 9(13)            | 0 = To be determined<br>(if Recv type = "C"/"P")   |
| Sign of Receivable quantity | X(1)             | "-" = negative<br>blank = 0 or positive  |
| Announcement number         | X(9)             |  |
| Event sequential number     | 9(2)             |  |
| Corporate action fee        | 9(7)V9(2)        |  |
| Payable Date                | 9(8)             | YYYYMMDD   |
| SBL Position Number         | X(9)             | blank if Holding type =<br>'H'/'P'/'R'   |
| Record checksum             | 9(17)            | Sum of Orig stk, Orig<br>shrhldg, New stk, Recv qty,<br>Evt no, Corp act fee &<br>Payable Dt |
| Filler                      | X(161)           | Spaces   |
| Filler                      | X(3)             | Reserved for system use  |

**Detail Record :**

*Take Over Offer / Auto-Exercise of Structured Products*

|                           |            |   |
|---------------------------|------------|---|
| Record type               | X(1)       | "D" = Take Over Offer / Auto-<br>Exercise of Structured<br>Products             |
| Original stock code       | 9(5)       |   |
| ISIN                      | X(12)      |   |
| Reference number          | X(9)       |   |
| Holding type              | X(1)       | "H" - holding<br>"P" - CNS position<br>"R" - receivable<br>"S" - SBL position   |
| Receivable type           | X(1)       | "C" = cancelled<br>"P" = preliminary<br>"F" = final<br>"T" = to be advised      |
| Take-up quantity          | 9(13)      |   |
| Sign of Take-up quantity  | X(1)       | "-" = negative<br>blank = 0 or positive   |
| Stock/currency code flag  | X(1)       | "S" - take-over to share<br>"C" - take-over to cash                             |
| Distributed currency      | X(3)       | blank if Stk/ccy fg = "S"   |
| Receivable amount         | 9(13)V9(2) | 0.00 if Stk/ccy fg = "S"<br>0.00 = To be determined (if<br>Recv type = "C"/"P") |
| Sign of Receivable amount | X(1)       | blank if Stk/ccy fg = "S"<br>"-" = negative<br>blank = 0 or positive            |
| Distributed stock code    | 9(5)       | 0 if Stk/ccy fg = "C"   |
| ISIN                      | X(12)      | 0 if Stk/ccy fg = "C"   |

**Section 4.4**  
Report Data Files Layout

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| <u>Data Item</u>            | <u>Data Size</u> | <u>Remarks</u>   |
|-----------------------------|------------------|--|
| Receivable quantity         | 9(13)            | 0 if Stk/ccy fg = "C"<br>0 = To be determined<br>(if Recv type = "C"/"P")  |
| Sign of Receivable quantity | X(1)             | blank if Stk/ccy fg = "C"<br>"-" = negative<br>blank = 0 or positive   |
| Announcement number         | X(9)             |  |
| Event sequential number     | 9(2)             |  |
| Corporate action fee        | 9(7)V9(2)        |  |
| Ad Valorem Duty             | 9(13)V9(2)       |  |
| Bank charge                 | 9(7)V9(2)        | 0.00 if Stk/ccy fg = "S"   |
| Payable Date                | 9(8)             | YYYYMMDD   |
| SBL Position Number         | X(9)             | blank if Holding type =<br>'H'/'P'/'R'   |
| Record checksum             | 9(17)            | Sum of Orig stk, Take-up<br>qty, Recv amt, Dstr stk, Recv<br>qty, Evt no, Corp act fee,<br>AVD, Bank chrg & Payable<br>Dt  |
| Filler                      | X(108)           | Spaces   |
| Filler                      | X(3)             | Reserved for system use  |
| <b>Detail Record :</b>      |                  |  |
| <i>Warrant Subscription</i> |                  |  |
| Record type                 | X(1)             | "E" = Warrant Subscription   |
| Charges record type         | X(1)             | "C" = with subscriptions<br>money, corporate action fee,<br>cancel fee, exercise fee<br>blank = without subscription<br>money, corporate action fee,<br>cancel fee, exercise fee |
| Original stock code         | 9(5)             |  |
| ISIN                        | X(12)            |  |
| Underlying stock code       | 9(5)             |  |
| ISIN                        | X(12)            |  |
| Reference number            | X(9)             |  |
| Holding type                | X(1)             | "H" - holding<br>"P" - position<br>"R" - receivable  |
| Receivable type             | X(1)             | "C" = cancelled<br>"P" = preliminary<br>"F" = final<br>"T" = to be advised   |
| Warrant quantity            | 9(13)            |  |
| Sign of Warrant quantity    | X(1)             | "-" = negative<br>blank = 0 or positive  |
| Stock/currency code flag    | X(1)             | "S" - Warrant dstr share<br>"C" - Warrant dstr cash  |
| Distributed currency        | X(3)             | blank if Stk/ccy fg = "S"  |

| <u>Data Item</u>            | <u>Data Size</u> | <u>Remarks</u>   |
|-----------------------------|------------------|--|
| Receivable amount           | 9(13)V9(2)       | 0.00 if Stk/ccy fg = "S"<br>0.00 = To be determined (if<br>Recv type = "C"/"P")  |
| Sign of Receivable amount   | X(1)             | blank if Stk/ccy fg = "S"<br>"-" = negative<br>blank = 0 or positive   |
| Distributed stock code      | 9(5)             | 0 if Stk/ccy fg = "C"  |
| ISIN                        | X(12)            | 0 if Stk/ccy fg = "C"  |
| Receivable quantity         | 9(13)            | 0 if Stk/ccy fg = "C"<br>0 = To be determined<br>(if Recv type = "C"/"P")  |
| Sign of Receivable quantity | X(1)             | blank if Stk/ccy fg = "C"<br>"-" = negative<br>blank = 0 or positive   |
| Announcement number         | X(9)             |  |
| Event sequential number     | 9(2)             |  |
| Subscription money          | 9(13)V9(2)       | 0.00 if Stk/ccy fg = "C" or<br>Charges record type = blank   |
| Subscription Currency       | X(3)             | Blank if HKD   |
| Corporate action fee        | 9(7)V9(2)        | 0.00 if Stk/ccy fg = "C" or<br>Charges record type = blank   |
| Cancel fee                  | 9(13)V9(2)       | 0.00 if Stk/ccy fg = "C" or<br>Charges record type = blank   |
| Exercise fee                | 9(7)V9(2)        | 0.00 if Stk/ccy fg = "C" or<br>Charges record type = blank   |
| T/D stamp duty collected    | 9(7)V9(2)        | 0.00 if Stk/ccy fg = "C" or<br>Charges record type = "C"   |
| T/D stamp duty refunded     | 9(7)V9(2)        | 0.00 if Stk/ccy fg = "C" or<br>Charges record type = "C"   |
| Ad Valorem Stamp Duty       | 9(13)V9(2)       | 0.00 if Stk/ccy fg = "C" or<br>Charges record type = "C"   |
| Transfer fee collected      | 9(7)V9(2)        | 0.00 if Stk/ccy fg = "C" or<br>Charges record type = "C"   |
| Transfer fee refunded       | 9(7)V9(2)        | 0.00 if Stk/ccy fg = "C" or<br>Charges record type = "C"   |
| Payable Date                | 9(8)             | YYYYMMDD   |
| Misc Fee                    | 9(13)V9(2)       | 0.00 if not CW or if CW and<br>Stock/currency code flag =<br>"C"   |
| Bank charges                | 9(13)V9(2)       | 0.00 if stk/ccy fg = "s"   |
| Record checksum             | 9(17)            | Sum of Orig stk, Underlying<br>stk code, War qty, Recv amt,<br>Dstr stk, Recv qty, Evt no,<br>Sub Mny, Corp act fee, Canc<br>fee, Exer fee, T/D stmp duty<br>coll, T/D stmp duty ref, AVD,<br>Transfer fee coll, Transfer<br>fee ref, Payable Dt & Misc<br>fee |
| Filler                      | X(3)             | Reserved for system use  |

**Section 4.4**  
Report Data Files Layout

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| <u>Data Item</u>                                | <u>Data Size</u> | <u>Remarks</u>  |
|---|------------------|---|
| <b>Detail Record :</b>                          |                  |   |
| <i>Rights / Excess Rights Subscription</i>      |                  |   |
| Record type                                     | X(1)             | "F" = Rights Subscription   |
| Report line type                                | X(1)             | "1" = Rights Sub<br>"2" = Excess Rights Sub   |
| Original stock code                             | 9(5)             |   |
| ISIN  | X(12)            |   |
| Reference number                                | X(9)             |   |
| Holding type                                    | X(1)             | "H" - holding<br>"P" - position<br>"R" - receivable   |
| Receivable type                                 | X(1)             | "C" = cancelled<br>"P" = preliminary<br>"F" = final   |
| Rights quantity                                 | 9(13)            |   |
| Sign of Rights quantity                         | X(1)             | "-" = negative<br>blank = 0 or positive   |
| Distributed stock code                          | 9(5)             |   |
| ISIN  | X(12)            |   |
| Receivable quantity                             | 9(13)            | 0 = To be determined<br>(if Recv type = "C"/"P")  |
| Sign of Receivable quantity                     | X(1)             | "-" = negative<br>blank = 0 or positive   |
| Announcement number                             | X(9)             |   |
| Event sequential number                         | 9(2)             |   |
| Corporate action fee                            | 9(7)V9(2)        |   |
| Subscription money collected                    | 9(13)V9(2)       |   |
| Subscription money refunded for<br>Unsuccessful | 9(13)V9(2)       |   |
| Subscription currency                           | X(3)             | Blank if HKD  |
| Payable Date                                    | 9(8)             | YYYYMMDD  |
| Record checksum                                 | 9(17)            | Sum of Orig stk, Rts qty, Dstr<br>stk, Recv qty, Evt no, Corp<br>act fee, Sub Mny coll, Sub<br>Mny ref & Payable Dt |
| Filler  | X(127)           | Spaces  |
| Filler  | X(3)             | Reserved for system use   |

**Detail Record :**

*Open Offer/Excess Open Offer*

|                     |       |   |
|---------------------|-------|---|
| Record type         | X(1)  | "G" = Open Offer<br>Subscription                    |
| Report line type    | X(1)  | "1" = Open Offer Sub<br>"2" = Excess Open Offer Sub |
| Original stock code | 9(5)  |   |
| ISIN                | X(12) |   |
| Reference number    | X(9)  |   |



| <u>Data Item</u>   | <u>Data Size</u> | <u>Remarks</u>   |
|--|------------------|--|
| Holding type   | X(1)             | "H" - holding<br>"P" - position<br>"R" - receivable  |
| Receivable type  | X(1)             | "C" = cancelled<br>"P" = preliminary<br>"F" = final  |
| Original stock quantity  | 9(13)            |  |
| Sign of Original stock quantity                                | X(1)             | "-" = negative<br>blank = 0 or positive  |
| Distributed stock code   | 9(5)             |  |
| ISIN   | X(12)            |  |
| Receivable quantity  | 9(13)            | 0 = To be determined<br>(if Recv type = "C"/"P")   |
| Sign of Receivable quantity                                    | X(1)             | "-" = negative<br>blank = 0 or positive  |
| Announcement number  | X(9)             |  |
| Event sequential number  | 9(2)             |  |
| Corporate action fee   | 9(7)V9(2)        |  |
| Subscription money collected                                   | 9(13)V9(2)       |  |
| Subscription money refunded for Price Difference               | 9(13)V9(2)       |  |
| Subscription money refunded for Unsuccessful                   | 9(13)V9(2)       |  |
| Subscription currency  | X(3)             | Blank if HKD   |
| Transaction levy and trading fee collected                     | 9(7)V9(2)        |  |
| Transaction levy and trading fee refunded for Price Difference | 9(7)V9(2)        |  |
| Transaction levy and trading fee refunded for Unsuccessful     | 9(7)V9(2)        |  |
| Transaction levy currency                                      | X(3)             | Blank if HKD   |
| Brokerage fee collected  | 9(7)V9(2)        |  |
| Brokerage fee refunded for Price Difference                    | 9(7)V9(2)        |  |
| Brokerage fee refunded for Unsuc                               | 9(7)V9(2)        |  |
| Brokerage currency   | X(3)             | Blank if HKD   |
| Payable Date   | 9(8)             | YYYYMMDD   |
| Record checksum  | 9(17)            | Sum of Orig stk, Orig stk qty, Dstr stk, Recv qty, Evt no, Corp act fee, Sub Mny coll, Sub Mny ref (Prc Diff), Sub Mny ref (Unsucc), Trn Levy coll, Trn Levy ref (Prc Diff), Trn Levy ref (Unsucc), Brok fee coll, Brok fee ref (Prc Diff), Brok fee ref (Unsucc) & Payable Dt |
| Filler   | X(52)            | Spaces   |
| Filler   | X(3)             | Reserved for system use  |

**Section 4.4**  
Report Data Files Layout

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| <u>Data Item</u>                       | <u>Data Size</u> | <u>Remarks</u>  |
|--|------------------|---|
| <b>Detail Record :</b>                 |                  |   |
| <i>Corporate Action</i>                |                  |   |
| Record type                            | X(1)             | "H" = Corporate Action  |
| Original stock code                    | 9(5)             |   |
| ISIN                                   | X(12)            |   |
| New stock code                         | 9(5)             |   |
| ISIN                                   | X(12)            |   |
| Stock account number                   | X(8)             |   |
| Original stock quantity                | 9(13)            |   |
| Sign of Original stock quantity        | X(1)             | "-" = negative<br>blank = 0 or positive   |
| New stock quantity                     | 9(13)            |   |
| Sign of New stock quantity             | X(1)             | "-" = negative<br>blank = 0 or positive   |
| Corporate action fee                   | 9(7)V9(2)        |   |
| Announcement number                    | X(9)             |   |
| Event sequential number                | 9(2)             |   |
| Record checksum                        | 9(17)            | Sum of Orig stk, New stk,<br>Orig stk qty, New stk qty,<br>Corp act fee & Evt no<br>Spaces  |
| Filler                                 | X(172)           | Reserved for system use   |
| Filler                                 | X(3)             |   |
| <b>Detail Record :</b>                 |                  |   |
| <i>Periodic Interest Entitlement</i>   |                  |   |
| Record type                            | X(1)             | "N" = Periodic Interest<br>Entitlement  |
| Stock code                             | 9(5)             |   |
| ISIN                                   | X(12)            |   |
| Reference Number                       | X(9)             |   |
| Holding type                           | X(1)             | "H" = holding<br>"P" = position<br>"R" = receivable<br>"S" = SBL position<br>"C" = cancelled<br>"P" = preliminary<br>"F" = final<br>"T" = to be advised |
| Receivable Type                        | X(1)             |   |
| Original Shareholding Quantity         | 9(13)            |   |
| Sign of Original Shareholding quantity | X(1)             | "-" for negative<br>blank = 0 or positive   |
| Distributed Currency                   | X(3)             |   |
| Receivable Amount                      | 9(13)V9(2)       | 0.00 = To be determined<br>(if Recv type = "C"/"P")   |
| Sign of Receivable Amount              | X(1)             | "-" for negative<br>blank = 0 or positive   |

| <u>Data Item</u>                   | <u>Data Size</u> | <u>Remarks</u>   |
|------------------------------------|------------------|--|
| Announcement Number                | X(9)             |  |
| Event Sequential Number            | 9(2)             |  |
| Interest Collection Fee            | 9(7)V9(2)        |  |
| Disbursement Charge                | 9(7)V9(2)        |  |
| Net Amount Payment                 | 9(13)V9(2)       |  |
| Sign of Net Amount Payment         | X(1)             | "-" for negative<br>blank = 0 or positive  |
| Book Close From Date               | 9(8)             | YYYYMMDD   |
| Book Close To Date                 | 9(8)             | YYYYMMDD   |
| Second Ex-Dividend Date            | 9(8)             | YYYYMMDD   |
| Payable Date                       | 9(8)             | YYYYMMDD   |
| Event Summary                      | X(40)            |  |
| SBL Position Number                | X(9)             |  |
| Bank Charges                       | 9(13)V9(2)       |  |
| Record Checksum                    | 9(17)            | Sum of Stk cd, Orig shrhldg,<br>Recv Amt, Evt no, Int. Coll<br>fee, Disb chrg, Net Amt<br>pymt, Book Close Fr Dt,<br>Book Close To Dt, Second<br>Ex-Divid Dt, Payable Dt |
| Filler                             | X(60)            | Spaces   |
| Filler                             | X(3)             | Reserved for system use  |
| <b>Detail Record :</b>             |                  |  |
| <i>Bond / Pref. Shs Conversion</i> |                  |  |
| Record type                        | X(1)             | "O" = Bond/Preference<br>Shares Conversion   |
| Stock Code                         | 9(5)             |  |
| ISIN                               | X(12)            |  |
| Reference Number                   | X(9)             |  |
| Holding Type                       | X(1)             | "H" = holding<br>"P" = position<br>"R" = receivable  |
| Receivable Type                    | X(1)             | "C" = cancelled<br>"P" = preliminary<br>"F" = final<br>"T" = to be advised   |
| Bond Quantity                      | 9(13)            |  |
| Sign of Bond Quantity              | X(1)             | "-" for negative<br>blank = 0 or positive  |
| Stock/Currency Code Flag           | X(1)             | "S" - Bond duster share<br>"C" - Bond duster cash  |
| Distributed Currency               | X(3)             | blank if Stk/ccy fg = "S"  |
| Receivable Amount                  | 9(13)V9(2)       | 0.00 if Stk/ccy fg = "S" 0.00<br>= To be determined<br>(if Recv type = "C"/"P")  |
| Sign of Receivable Amount          | X(1)             | blank if Stk/ccy fg = "S"<br>"-" = negative<br>blank = 0 or positive   |
| Distributed Stock Code             | 9(5)             | 0 if Stk/ccy fg = "C"  |

**Section 4.4**  
**Report Data Files Layout**

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| <u>Data Item</u>                                 | <u>Data Size</u> | <u>Remarks</u>  |
|--|------------------|---|
| ISIN   | X(12)            | 0 if Stk/ccy fg = "C"   |
| Receivable Quantity                              | 9(13)            | 0 if Stk/ccy fg - "C"   |
| Sign of Receivable Quantity                      | X(1)             | 0 = To be determined<br>(if Recv type = "C"/"P")<br>blank if Stk/ccy fg = "C"<br>"- " = negative<br>blank = 0 or positive   |
| Announcement Number                              | X(9)             |   |
| Event Sequential Number                          | 9(2)             |   |
| Subscription Money                               | 9(13)V9(2)       |   |
| Subscription Currency                            | X(3)             | Blank if HKD  |
| Conversion Fee                                   | 9(7)V9(2)        |   |
| Exercise Fee                                     | 9(7)V9(2)        |   |
| Interest Collection Fee                          | 9(7)V9(2)        | 0.00 if Stk/ccy fg = "S"  |
| Scrip Fee Coll                                   | 9(7)V9(2)        |   |
| Disbursement Charge                              | 9(7)V9(2)        |   |
| Payable Date                                     | 9(8)             | YYYYMMDD  |
| Bank Charges                                     | 9(13)V9(2)       |   |
| CA Fee   | 9(7)V9(2)        |   |
| Record Checksum                                  | 9(17)            | Sum of Stk cd, Unit/Share<br>qty, Recv Amt, Dstr stk,<br>Recv qty, Evt no, Sub Mny,<br>Conv fee, Exer fee, Scp fee<br>coll, Int. Coll Fee, Disb chrg,<br>Payable Dt, Bank Charges &<br>CA Fee |
| Filler   | X(63)            | Spaces  |
| Filler   | X(3)             | Reserved for system use   |
| <b>Detail Record :</b>                           |                  |   |
| <i>Warrant Subscription with Bond Conversion</i> |                  |   |
| Record type                                      | X(1)             | "P" = Warrant<br>Subscription with Bond<br>Conversion   |
| Original Stock Code                              | 9(5)             |   |
| ISIN   | X(12)            |   |
| Reference Number                                 | X(9)             |   |
| Holding Type                                     | X(1)             | "H" = holding<br>"P" = position<br>"R" = receivable   |
| Receivable Type                                  | X(1)             | "C" = cancelled<br>"P" = preliminary<br>"F" = final<br>"T" = to be advised  |
| Warrant Quantity                                 | 9(13)            |   |
| Sign of Warrant Quantity                         | X(1)             | "-" for negative<br>blank = 0 or positive   |

| <u>Data Item</u>            | <u>Data Size</u> | <u>Remarks</u>  |
|-----------------------------|------------------|---|
| Stock/Currency Code Flag    | X(1)             | "S" - Bond dstr share<br>"C" - Bond dstr cash   |
| Distributed Currency        | X(3)             | blank if Stk/ccy fg = "S"   |
| Receivable Amount           | 9(13)V9(2)       | 0.00 if Stk/ccy fg = "S"<br>0.00 = To be determined<br>(if Recv type = "C"/"P")   |
| Sign of Receivable Amount   | X(1)             | blank if Stk/ccy fg = "S"<br>"- " = negative<br>blank = 0 or positive   |
| Distributed Stock Code      | 9(5)             | 0 if Stk/ccy fg = "C"   |
| ISIN                        | X(12)            | 0 if Stk/ccy fg = "C"   |
| Receivable Quantity         | 9(13)            | 0 if Stk/ccy fg = "C"<br>0 = To be determined<br>(if Recv type = "C"/"P")   |
| Sign of Receivable Quantity | X(1)             | blank if Stk/ccy fg = "C"<br>"- " = negative<br>blank = 0 or positive   |
| Announcement Number         | X(9)             |   |
| Event Sequential Number     | 9(2)             |   |
| Subscription Money          | 9(13)V9(2)       |   |
| Subscription Currency       | X(3)             | Blank if HKD  |
| CA Fee                      | 9(7)V9(2)        |   |
| Bond Quantity               | 9(13)            |   |
| Sign of Bond Quantity       | X(1)             | "-" for negative<br>blank = 0 or positive   |
| Interest Collection Fee     | 9(7)V9(2)        | 0.00 if Stk/ccy fg = "S"  |
| Disbursement Charge         | 9(7)V9(2)        |   |
| Bond Code                   | 9(4)             |   |
| Payable Date                | 9(8)             | YYYYMMDD  |
| Bank Charges                | 9(13)V9(2)       |   |
| Record Checksum             | 9(17)            | Sum of Stk cd, War qty,<br>Recv Amt, Dstr stk, Recv<br>qty, Evt no, Sub Mny, CA<br>fee, Bond qty, Conv fee, Int.<br>Coll Fee, Disb chrg, Bond<br>cd, Payable Dt |
| Filler                      | X(72)            | Spaces  |
| Filler                      | X(3)             | Reserved for system use   |

**Detail Record :**

*Redemption*

|                     |       |   |
|---------------------|-------|---|
| Record type         | X(1)  | "Q" = Redemption  |
| Original Stock Code | 9(5)  |   |
| ISIN                | X(12) |   |
| Reference Number    | X(9)  |   |
| Holding Type        | X(1)  | "H" = holding<br>"P" = position<br>"R" = receivable<br>"S" = SBL position |

## Section 4.4

### Report Data Files Layout

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| <u>Data Item</u>            | <u>Data Size</u> | <u>Remarks</u>  |
|-----------------------------|------------------|---|
| Receivable Type             | X(1)             | "C" = cancelled<br>"P" = preliminary<br>"F" = final<br>"T" = to be advised  |
| Redemption Quantity         | 9(13)            |   |
| Sign of Redemption Quantity | X(1)             | "-" for negative<br>blank = 0 or positive   |
| Stock/Currency Code Flag    | X(1)             | "S" - Bond dstr share<br>"C" - Bond dstr cash   |
| Distributed Currency        | X(3)             | blank if Stk/ccy fg = "S"   |
| Receivable Amount           | 9(13)V9(2)       | 0.00 if Stk/ccy fg = "S"<br>0.00 = To be determined<br>(if Recv type = "C"/"P")   |
| Sign of Receivable Amount   | X(1)             | blank if Stk/ccy fg = "S"<br>"-" = negative<br>blank = 0 or positive  |
| Distributed Stock Code      | 9(5)             | 0 if Stk/ccy fg = "C"   |
| ISIN                        | X(12)            | 0 if Stk/ccy fg = "C"   |
| Receivable Quantity         | 9(13)            | 0 if Stk/ccy fg = "C"<br>0 = To be determined<br>(if Recv type = "C"/"P")   |
| Sign of Receivable Quantity | X(1)             | blank if Stk/ccy fg = "C"<br>"-" = negative<br>blank = 0 or positive  |
| Announcement Number         | X(9)             |   |
| Event Sequential Number     | 9(2)             |   |
| Redemption Fee              | 9(7)V9(2)        |   |
| Interest Collection Fee     | 9(7)V9(2)        | 0.00 if Stk/ccy fg = "S"<br>(only applicable for interest<br>payment event)   |
| Disbursement Charge         | 9(7)V9(2)        |   |
| Payable Date                | 9(8)             | YYYYMMDD  |
| SBL Position Number         | X(9)             |   |
| Bank Charges                | 9(13)V9(2)       |   |
| Record Checksum             | 9(17)            | Sum of Stk cd, Redp qty,<br>Recv Amt, Dstr stk, Recv<br>qty, Evt no, Redp fee, Int.<br>Coll Fee, Disb chrg, Payable<br>Dt |
| Filler                      | X(99)            | Spaces  |
| Filler                      | X(3)             | Reserved for system use   |
| <b>Detail Record :</b>      |                  |   |
| <i>Claims on Unclaims</i>   |                  |   |
| Record type                 | X(1)             | "I" = Claims on Unclaims<br>Transaction   |
| Original stock code         | 9(5)             |   |
| ISIN                        | X(12)            |   |
| Unclaims transaction number | X(9)             |   |

| <u>Data Item</u>                   | <u>Data Size</u> | <u>Remarks</u>  |
|------------------------------------|------------------|---|
| Original share quantity            | 9(13)            |   |
| Sign of Original share quantity    | X(1)             | "-" = negative  |
| Stock/currency code flag           | X(1)             | blank = 0 or positive<br>"S" - Unclaims dstr share<br>"C" - Unclaims dstr cash  |
| Distributed currency               | X(3)             | blank if Stk/ccy fg = "S"   |
| Distributed amount                 | 9(13)V9(2)       | 0.00 if Stk/ccy fg = "S"  |
| Sign of Distributed amount         | X(1)             | blank if Stk/ccy fg = "S"<br>"-" = negative   |
| Distributed stock code             | 9(5)             | blank = 0 or positive<br>0 if Stk/ccy fg = "C"  |
| ISIN                               | X(12)            | 0 if Stk/ccy fg = "C"   |
| Distributed stock quantity         | 9(13)            | 0 if Stk/ccy fg = "C"   |
| Sign of Distributed stock quantity | X(1)             | blank if Stk/ccy fg = "C"<br>"-" = negative   |
| Announcement number                | X(9)             | blank = 0 or positive   |
| Event sequential number            | 9(2)             |   |
| Dividend/Interest collection fee   | 9(7)V9(2)        | N/A if Stk/ccy fg = "S"   |
| Bank charge                        | 9(7)V9(2)        | N/A if Stk/ccy fg = "S"   |
| Disbursement charge                | 9(7)V9(2)        |   |
| Net amount payment                 | 9(13)V9(2)       | 0.00 if Stk/ccy fg = "S"  |
| Sign of net amount payment         | X(1)             | blank if Stk/ccy fg = "S"<br>"-" = negative   |
| Net quantity payment               | 9(13)            | blank = 0 or positive<br>0.00 if Stk/ccy fg = "C"   |
| Sign of net quantity payment       | X(1)             | blank if Stk/ccy fg = "C"<br>"-" = negative   |
| Record checksum                    | 9(17)            | blank = 0 or positive<br>Sum of Orig stk, Orig shr qty, Dstr amt, Dstr stk, Dstr stk qty, Evt no, Dvd/Int coll fee, Bank chrg, Disb chrg, Net qty pymt & Net amt pymt |
| Filler                             | X(103)           | Spaces  |
| Filler                             | X(3)             | Reserved for system use   |

**Detail Record :**

*Book-close Reminder*

|  |       |                              |
|--|-------|------------------------------|
| Record type  | X(1)  | "J" = Book-close Reminder    |
| Voting/Book-close/Instruction from date/Effective date | 9(8)  | YYYYMMDD                     |
| Voting/Book-close/Instruction to date                  | 9(8)  | YYYYMMDD<br>"99991231" = N/A |
| Election from date                                     | 9(8)  | YYYYMMDD<br>"99991231" = N/A |
| Election to date                                       | 9(8)  | YYYYMMDD<br>"99991231" = N/A |
| Stock code   | 9(5)  |                              |
| ISIN   | X(12) |                              |

## Section 4.4

### Report Data Files Layout

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| <u>Data Item</u>       | <u>Data Size</u> | <u>Remarks</u>                          |
|------------------------|------------------|---|
| Announcement number    | X(9)             |   |
| Announcement summary 1 | X(40)            |   |
| Announcement summary 2 | X(40)            |   |
| Payable Date           | 9(8)             | YYYYMMDD                                |
| Scrip Fee Indicator    | X(1)             |   |
| Record checksum        | 9(17)            | Sum of Date fields, Stk cd & Payable Dt |
| Filler                 | X(115)           | Spaces                                  |
| Filler                 | X(3)             | Reserved for system use                 |

#### **Control Record :**

|  |        |                         |
|--|--------|-------------------------|
| Record type  | X(1)   | "Z" = Control Trailer   |
| Total number of Benefit Entitlement Record                       | 9(7)   |                         |
| Total number of Exchange of Share Record                         | 9(7)   |                         |
| Total number of Take over offer Record                           | 9(7)   |                         |
| Total number of Warrant Subscription Record                      | 9(7)   |                         |
| Total number of Rights Subscription Record                       | 9(7)   |                         |
| Total number of Open Offer Subscription Record                   | 9(7)   |                         |
| Total number of Corporate Action Record                          | 9(7)   |                         |
| Total number of Claims on Unclaims Record                        | 9(7)   |                         |
| Total number of Book-close Reminder Record                       | 9(7)   |                         |
| Total number of Corporate Action Reminder Record                 | 9(7)   |                         |
| Total number of Scrip Fee Record                                 | 9(7)   |                         |
| Total number of Corporate Action Fee Record                      | 9(7)   |                         |
| Total Number of Periodic Interest Entitlement Record             | 9(7)   |                         |
| Total Number of Bond Conversion Record                           | 9(7)   |                         |
| Total Number of Warrant Subscription with Bond Conversion Record | 9(7)   |                         |
| Total Number of Redemption Record                                | 9(7)   |                         |
| Sum of all record checksum                                       | 9(18)  |                         |
| Filler   | X(149) | Spaces                  |
| Filler   | X(3)   | Reserved for system use |