NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

Report ID : CCNPT01

Report Name : *Nominee Functions Input Activities Report*

Purpose : The *Nominee Functions Input Activities Report* lists the on-line input activities related to nominee functions. Functions include adding, changing, deleting, authorising, cancelling, accepting, rejecting, completing and unwinding. The Report is divided into eleven sections: Benefit Entitlement / Structured Products Payment Election, Takeover Offer, Warrant Subscription, Rights / Excess Rights Subscription, Open Offer / Excess Open Offer Subscription, Corporate Voting, Bond Conversion, Warrant Subscription with Bond Conversion, Redemption, Unit Trust Creation/Redemption and Intra-day Payment Standing Instruction.

When there is no activity for a particular nominee input function during the day, the relevant report section heading is suppressed from printing. Nominee functions of Hong Kong market (HKMK) shares, Shanghai market (MAMK) shares and Shenzhen market (SZMK) shares are shown in separate reports.

Section Content: I. BENEFIT ENTITLEMENT / STRUCTURED PRODUCTS PAYMENT ELECTION

Reflects the election activities performed for benefit entitlement with options and structured product with payment option. Details resulting from the election, such as the quantity of original stock allocated to each option, are printed.

II. TAKEOVER OFFER

Shows the subscription activities to the takeover offer of a stock. Conditional takeover, unconditional takeover activities are shown.

III. WARRANT SUBSCRIPTION

Lists the subscription activities to both registered warrant and covered warrant subscriptions.

IV. RIGHTS / EXCESS RIGHTS SUBSCRIPTION

Shows subscription activities to rights subscription and excess rights subscription.

V. OPEN OFFER / EXCESS OPEN OFFER SUBSCRIPTION

Lists the subscription activities related to open offer and excess open offer subscription.

VI. CORPORATE VOTING

Lists the activities related to corporate voting by identifying the number of shares voted 'FOR', 'AGAINST', 'ABSTAIN/WITHHOLD' and 'NON VOTED' and that of demand poll request for any one particular resolution. It also list the activities related to the appointment of corporate representative/proxy instruction.

VII. BOND / PREF.SHS CONVERSION

Lists the subscription activities related to bond and or preference shares conversion.

VIII. WARRANT SUBSCRIPTION WITH BOND CONVERSION

Lists the subscription activities to registered warrants where the conversion of bonds is used as payment towards subscription money.

IX. REDEMPTION

Lists the subscription activities related to the redemption of bonds.

X. UNIT TRUST CREATION/REDEMPTION

Lists the activities related to the creation and redemption of unit trusts.

XI. INTRA-DAY PAYMENT STANDING INSTRUCTION

Lists the activities performed via the Intra-day Payment Standing Instruction maintenance functions.

XI. NOMINEE PAYMENT (EVENING) STANDING INSTRUCTION

Lists the activities performed via the Nominee Payment (Evening) Standing Instruction maintenance functions.

Time Available : On each business day from the time when the report download function is available.

Frequency : Daily

This key refers to the *Nominee Functions Input Activities Report* sample 4.3.36.

Field Description :

X-Ref	Field Name	Description
(1)	CCNPT01	Report ID for *Nominee Functions Input Activities Report*
(2)	B03456	Participant ID
(3)	CCASS COMPANY	Participant full name
(4)	RUN DATE	Date the report is printed
(5)	RUN TIME	Time the report is printed
(6)	DATE	Date on which the nominee functions are transacted
(7)	(variable)	Section heading
(8)	ACTION TYPE	Action type shows the action performed for the nominee activity. Action types include: Add, Change ('CHG'), Delete ('DEL'), Authorise ('AUT'), Cancel ('CAN'), Complete (COMP), Unwind (UNWD)
(9)	INSTR. NO.	'Instruction Number' - unique reference number assigned to the instruction record
		A "*" would mark on the right hand side of the subscription number to indicate the associate sub-monies are collected by CPI
(10)	STATUS or STS	Status identifying the instruction record's processing stage. Statuses include: 'Pending' ('P'/'PEND'), 'Authorised' ('A'/'AUTH'), 'System Processed' ('S'), 'Cancelled' ('C'), Accepted ('ACCP'), Completed ('COMP'), Unwinded ('UNWD')
(11)	ORIGINAL STOCK	Stock code and stock name
(12)	HLDG TYPE	Holding type of the original stock. It is classified as either 'Holding' ('H') or 'Long Position' ('L')
(13)	INSTRUCTION SNAPSHOT TOTAL	Total holding of the ORIGINAL STOCK, usually on the relevant Last Registration Day or Shareholdings As Of Day for structured products. It is the holding quantity upon which election of options is based.
		For Benefit Entitlement:
		- In election after book-close, the shareholding is printed in the INSTRUCTION SNAPSHOT TOTAL column.
		- In election before book-close, the INSTRUCTION SNAPSHOT TOTAL is shown as '0'
(14)	ANCM. NO.	Announcement Number for the nominee activity
(15)	EVENT NO.	Event Number corresponding to the Announcement of the nominee activity
(16)	ELECTED SHARES	Holding quantity elected for the benefit entitlement option or structured product payment option
(17)	ACTION BY	Indicates the operator's userid, the terminal ID, and the time of the update to the instruction record
(18)	TOTAL NO. OF RECORDS	Indicates the activity totals of records added, changed, deleted, authorised, cancelled, purged, accepted, rejected, completed and unwinded.

X-Ref	Field Name	Description
(19)	STK A/C	The account from which the instruction quantity is to be debited
(20)	TAKE-UP QTY	The number of shares subscribed in the take-over offer is referred to as the Take-up Quantity
(21)	SUBSCRIPTION QUANTITY	The number of shares transacted in subscribing to various subscription activities which include registered warrant, covered warrant, rights, excess rights, open offer, excess open offer subscriptions
(22)	RES NO.	Resolution Number being voted on in a Meeting
(23)	FOR	Number of shares used in voting 'FOR' the resolution in a corporate voting
(24)	AGAINST	Number of shares used in voting 'AGAINST' the resolution in a corporate voting
(25)	ABSTAIN/WITHHOLD	Number of shares used in voting 'ABSTAIN/WITHHOLD' from the resolution in a corporate voting
(26)	NON VOTED	The number of shares not voted 'FOR' or 'AGAINST' or 'ABSTAIN/WITHHOLD' in the corporate voting. The amount is the difference resulting from the INSTRUCTION SNAPSHOT HOLDING less the number of 'FOR' votes and the number of 'AGAINST' votes and the number of 'ABSTAIN/WITHHOLD' votes Note: For Non-Cumulative Voting: -"NON VOTED"= Total Instruction Holding – Corp Rep /Proxy - (For + Against + Abstain/Withhold) - "NON VOTED" will be shown on each resolution. For Cumulative Voting: -"NON VOTED"= (Total Instruction Holding – Corp Rep /Proxy) x "No. of directors/supervisors to be elected" - (For + Against + Abstain/Withhold) under same cumulative group - Non Voted will be shown only in the 1st row of resolution within the group of Cumulative Vote.
(27)	INSTR SNSH HLDG	Shareholding total of the ORIGINAL STOCK, usually on the relevant Last Registration Day. The INSTRUCTION SNAPSHOT HOLDING is the total shares available to the participant in voting for the resolution
(28)	CONVERSION QTY	The number of bonds converted in the bond conversion instruction
(29)	BOND	The bond converted as payment towards subscription money in a BW type announcement
(30)	BOND QUANTITY	The number of bonds converted as payment towards subscription money in a BW type announcement
(31)	REDEMPTION QTY	The number of bonds redeemed in the redemption announcement
(32)	NAME OF CORP REP/ PROXY	Name of corporate representative/proxy nominated by participant
(33)	ADDRESS OF PROXY	Address of proxy nominated by participant

X-Ref	Field Name	Description
(34)	SHARE QTY OF CR/P	Share quantity of corporate representative/proxy nominated by participant
(35)	PROXY 'FOR'	For appointment of proxy, it indicates the number of shares used in voting 'FOR' the resolution
(36)	PROXY 'AGAINST'	For appointment of proxy, it indicates the number of shares used in voting 'AGAINST'
(37)	PROXY 'ABSTAIN/WITHHOLD'	For appointment of proxy, it indicates the number of shares used in voting 'ABSTAIN/WITHHOLD'
(38)	PROXY 'NON VOTED'	For appointment of proxy, it indicates the number of shares 'NON VOTED' Note: For Non-Cumulative Voting: -"NON VOTED"= Total Instruction Holding – Corp Rep /Proxy - (For + Against + Abstain/Withhold) - "NON VOTED" will be shown on each resolution. For Cumulative Voting: -"NON VOTED"= (Total Instruction Holding – Corp Rep /Proxy) x "No. of directors/supervisors to be elected" - (For + Against + Abstain/Withhold) under same cumulative group - Non Voted will be shown only in the 1st row of resolution within the group of Cumulative Vote.
(39)	TOTAL NO. OF CORPORATE REPRESENTATIVE/ PROXY RECORDS	Indicates the activity totals of corporate representative/proxy records added, changed, deleted, authorised and cancelled
(40)	ORDER NO.	'Order Number' - unique reference number assigned to the order.
(41)	ORDER TYPE	Type of the unit order. It is classified as either 'Cash Creation' ('C'), 'In Kind Creation' ('I') or 'Redemption' ('R').
(42)	STK A/C	The account from/to which the order quantity and the index shares are to be debited/credited.
(43)	ORDER QUANTITY	The number of units to be created or redeemed.
(44)	LP NO.	Lending Position number
(45)	MARKET	Market short name assigned by HKSCC
(46)	ISIN	International Securities Identification Number
(47)	DEMAND POLL	Number of shares used in "Demand Poll" request for the resolution in a corporate voting
(48)	NO. IN PROXY FORM	Numbers displayed in the proxy form for each resolution
(49)	DESCRIPTION SUMMARY IN PROXY FORM	Reference number and description summary recorded in the Proxy Form
(50)	CURRENCY	Currency maintained for the intra-day payment standing instruction and/or the nominee payment (evening) standing instruction

X-Ref	Field Name	Description
(51)	NOMINEES PAYMENT	Indicate whether the intra-day payment standing instruction and/or the nominee payment (evening) standing instruction being maintained applicable to nominee payment
(52)	RFD OVERPAID CASH PREPAYMENT	Indicate whether the intra-day payment standing instruction being maintained applicable to the refund of overpaid cash prepayment (only applicable to Clearing Participants, should always be displayed as "N" for non-Clearing Participants)
(53)	PAYMENT AMOUNT THRESHOLD	Payment amount threshold maintained for the intra-day payment standing instruction
(54)	CNS MONEY OBLIGATIONS	Indicate whether the intra-day payment standing instruction being maintained applicable to receive the intra-day settlement of CNS money obligations (only applicable to Clearing Participants, should always be displayed as "N" for non-Clearing Participants)
(55)	STATUS OF CR/P	Status identifying the instruction record's processing stage. Statuses include: 'Pending' ('P'/'PEND'), 'Authorised' ('A'/'AUTH'), 'Cancelled' ('C')