

SECTION 4.3

REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

(1) CCNPT01 (2) B03456
 (3) CCASS COMPANY

HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 19:54:52
 PAGE : 1

(6) DATE : 08FEB16

(7) BENEFIT ENTITLEMENT / STRUCTURED PRODUCTS PAYMENT ELECTION

| (8) ACTION TYPE | (9) INSTR.NO. | (10) STS | (11) ORIGINAL STOCK (46) ISIN | (12) HLDG TYPE | (13) INSTRUCTION SNAPSHOT TOTAL | (44) LP NO. | (14) ANCM. NO. | (15) EVT NO. | (16) ELECTED SHARES | (17) ---- ACTION BY ---- USER TERL TIME | | |
|--------------------|------------------|-------------|----------------------------------|----------------------|---------------------------------------|----------------|-------------------|--------------------|------------------------|---|------|--------|
| CHG (OLD) | R40000004 | P | 1108 YU HING LTD HK0000001108 | H | 25,000 | | A00000037 | 01 02 | 0 0 | B0345602 | RA69 | 17:09 |
| CHG (NEW) | R40000004 | P | 1108 YU HING LTD HK0000001108 | H | 25,000 | | A00000037 | 01 02 | 15,000 10,000 | B0345601 | RA69 | 17:09 |
| AUT | R40000004 | A | 1108 YU HING LTD HK0000001108 | H | 25,000 | LP4000011 | A00000037 | 01 | 15,000 | B0345602 | RA69 | 17:09 |
| | | | | | | | | | 02 | | | 10,000 |

(18) TOTAL NO. OF RECORDS ADDED : 0
 TOTAL NO. OF RECORDS CHANGED : 1
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CHANCELLED : 0

(7) TAKEOVER OFFER

| (8) ACTION TYPE | (9) INSTR.NO. | (10) STATUS | (11) ORIGINAL STOCK (46) ISIN | (14) ANCM. NO. | (19) STK A/C | (20) TAKE-UP QTY | (17) ---- ACTION BY ---- USER TERL TIME | | |
|--------------------|------------------|----------------|----------------------------------|-------------------|-----------------|---------------------|---|------|-------|
| ADD | R00000341 | P | 3210 WDL RESOURCES | A00000035 | 2 | 1,500 | B0345601 | RA68 | 15:17 |
| AUT | R00000341 | A | 3210 WDL RESOURCES | A00000035 | 2 | 1,500 | B0345602 | RA68 | 15:17 |

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

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(1) CCNPT01 (2) B03456
 (3) CCASS COMPANY

HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 19:56:13
 PAGE : 2

(6) DATE : 08FEB16

(7) WARRANT SUBSCRIPTION
 =====

| (8) ACTION TYPE | (9) INSTR. NO. | (10) STATUS | (11) ORIGINAL STOCK (46) ISIN | (14) ANCM. NO. | (19) STK A/C | (21) SUBSCRIPTION QUANTITY | (17) ---- ACTION BY ---- USER TERL TIME |
|--------------------|-------------------|----------------|----------------------------------|-------------------|-----------------|----------------------------------|---|
| ADD | R00000361 | P | 2001 GRAND RESOURCES | A00000022 | 1 | 80,000 | B0345601 RA68 18:06 |
| AUT | R00000361 | A | 2001 GRAND RESOURCES | A00000022 | 1 | 80,000 | B0345602 RA68 18:06 |
| ADD | R00000362 | P | 2001 GRAND RESOURCES | A00000022 | 1 | 80,000 | B0345601 RA68 18:07 |
| AUT | R00000362 | A | 2001 GRAND RESOURCES | A00000022 | 1 | 80,000 | B0345602 RA68 18:07 |
| ADD | R00000363* | P | 2002 SUPER N LTD | A00000025 | 1 | 80,000 | B0345601 RA68 18:08 |
| AUT | R00000363* | A | 2002 SUPER N LTD | A00000025 | 1 | 80,000 | B0345602 RA68 18:08 |
| CAN | R00000362 | C | 2001 GRAND RESOURCES | A00000022 | 1 | 80,000 | B0345601 RA9C 18:10 |

(18) TOTAL NO. OF RECORDS ADDED : 3
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 3
 TOTAL NO. OF RECORDS CANCELLED : 1

REMARKS: * INDICATES SUBSCRIPTION INSTRUCTION WITH CHATS PAYMENT

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(1)CCNPT01 (2)B03456
 (3)CCASS COMPANY

HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 19:56:13
 PAGE : 3

(6)DATE : 08FEB16

(7)RIGHTS / EXCESS RIGHTS SUBSCRIPTION
 =====

| (8) ACTION | (9) | (10) | (11) ORIGINAL STOCK | (14) | (19) | (21) SUBSCRIPTION | (17) ACTION BY |
|------------|-----------|--------|-----------------------|-----------|---------|-------------------|---------------------|
| TYPE | INSTR.NO. | STATUS | (46) ISIN | ANCM. NO. | STK A/C | QUANTITY | USER TERL TIME |
| ADD | R00000234 | P | 2311 FUN UNLIMITED | A00000041 | 2 | 2,000 | B0345601 AO61 09:17 |
| ADD | R00000248 | P | 2341 INFINITY LIMITED | A00000054 | 1 | 2,000 | B0345601 RA69 09:44 |
| AUT | R00000248 | A | 2341 INFINITY LIMITED | A00000054 | 1 | 2,000 | B0345602 RA69 09:45 |

(18) TOTAL NO. OF RECORDS ADDED : 2
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

REMARKS: * INDICATES SUBSCRIPTION INSTRUCTION WITH CHATS PAYMENT

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REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

(1)CCNPT01 (2)B03456
 (3)CCASS COMPANY

HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 20:02:08
 PAGE : 4

(6) DATE : 08FEB16

(7) OPEN OFFER / EXCESS OPEN OFFER SUBSCRIPTION
 =====

| (8) ACTION | (9) INSTR.NO. | (10) STATUS | (11) ORIGINAL STOCK (46) ISIN | (14) ANCM. NO. | (19) STK A/C | (21) SUBSCRIPTION QUANTITY | (17) ACTION BY USER TERL TIME |
|------------|---------------|-------------|-------------------------------------|----------------|--------------|-------------------------------|----------------------------------|
| ADD | R00000256 | P | 2411 DAIRY CO. LTD. HK0000002411 | A00000111 | 2 | 1,555 | B0345601 RA69 10:17 |
| AUT | R00000256 | A | 2411 DAIRY CO. LTD. HK0000002411 | A00000111 | 2 | 1,555 | B0345602 RA69 10:18 |

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

REMARKS: * INDICATES SUBSCRIPTION INSTRUCTION WITH CHATS PAYMENT

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REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

| (1) CCNPT01 (2) B03456 | | HKSCC - CCASS | | (4) RUN DATE : 08FEB16 | |
|--|--|---|----------------------|-------------------------|--|
| (3) CCASS COMPANY | | NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT | | (5) RUN TIME : 20:02:08 | |
| | | (45) (MARKET-HONG KONG MK) | | PAGE : 5 | |
| (6) DATE : 08FEB16 | | | | | |
| (7) CORPORATE VOTING | | | | | |
| ===== | | | | | |
| | (14) ANCM NO. | (10) STATUS | (27) INSTR SNSH HLDG | (26) "NON VOTED" | |
| | (49) DESCRIPTION SUMMARY IN THE PROXY FORM | (23) "FOR" | (24) "AGAINST" | (25) "ABSTAIN/WITHHOLD" | ----- ACTION BY ----- |
| (8) ACTION | (9) (19) ORIGINAL STOCK/(11) ISIN(46) | (32) NAME OF CORP REP / PROXY | (55) STATUS OF CR/P | (34) SHARE QTY OF CR/P | USER TERL TIME |
| TYPE | STOCK A/C NO. IN PROXY FORM(48) | (33) ADDRESS OF PROXY | (35) PROXY "FOR" | (36) PROXY "AGAINST" | (37) PROXY "ABSTAIN/WITHHOLD" (38) PROXY "NON VOTED" |
| | (62) EMAIL ADDRESS FOR ONLINE MEETING | | | | |
| AUT | R00002164 2168 LAI MAN INTL HK0083000502 AA.BB.CC.1 | A00001836 | A | 112,347 | B0345601 0138 13:28 |
| | 11,219 | RES.A | 8,407 | 2,812 | 658 1,470 |
| | BB.CC.DD.2 | RES.B | 2,036 | 1,200 | 380 14,567 |
| | CC.DD.EE.3 | RES.C | 0 | 0 | 1,123 19,974 |
| AUT | R00002164 2168 LAI MAN INTL 21 HK0083000502 | A00001836 | A | | B0345601 0138 13:29 |
| | | MR CHAN TAI MAN | | A | |
| | | NO.123 GOODWILL TOWER | | 200 | |
| | | HONG KONG | | | |
| AUT | CHAN.TAI.MAN@CHANTAIMAN.COM R00002164 2168 LAI MAN INTL HK0083000502 | A00001836 | A | | B0345601 0138 13:29 |
| | | MS CHA SIU YAN | | A | |
| | | NO.123 GOODWILL TOWER | | 165 | |
| | | HONG KONG | | | |
| (18) | | | | | |
| TOTAL NO. OF RECORDS ADDED : 0 | | | | | |
| TOTAL NO. OF RECORDS CHANGED : 0 | | | | | |
| TOTAL NO. OF RECORDS DELETED : 0 | | | | | |
| TOTAL NO. OF RECORDS AUTHORIZED : 1 | | | | | |
| TOTAL NO. OF RECORDS CANCELLED : 0 | | | | | |
| (39) | | | | | |
| TOTAL NO. OF CORPORATE REPRESENTATIVE/PROXY RECORDS ADDED : 0 | | | | | |
| TOTAL NO. OF CORPORATE REPRESENTATIVE/PROXY RECORDS CHANGED : 0 | | | | | |
| TOTAL NO. OF CORPORATE REPRESENTATIVE/PROXY RECORDS DELETED : 0 | | | | | |
| TOTAL NO. OF CORPORATE REPRESENTATIVE/PROXY RECORDS AUTHORIZED : 2 | | | | | |
| TOTAL NO. OF CORPORATE REPRESENTATIVE/PROXY RECORDS CANCELLED : 0 | | | | | |

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REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

(1) CCNPT01 (2) B03456
 (3) CCASS COMPANY

HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 20:02:30
 PAGE : 6

(6) DATE : 08FEB16

(7) BOND / PREF.SHS CONVERSION
 =====

| (8) ACTION TYPE | (9) INSTR.NO. | (10) STATUS | (11) ORIGINAL STOCK (46) ISIN | (14) ANCM. NO. | (19) STK A/C | (28) CONVERSION QTY | (17) ---- ACTION BY ---- | | |
|--------------------|------------------|----------------|----------------------------------|-------------------|-----------------|------------------------|-----------------------------|------|-------|
| | | | | | | | USER | TERL | TIME |
| ADD | R00000054 | P | 1001 YOUME LTD HK0000001001 | A00000007 | 1 | 3,000 | B0345601 | RA69 | 11:05 |
| ADD | R00000055 | P | 1001 YOUME LTD HK0000001001 | A00000007 | 1 | 3,500 | B0345601 | RA69 | 11:06 |
| DEL | R00000054 | P | 1001 YOUME LTD HK0000001001 | A00000007 | 1 | 3,000 | B0345601 | RA69 | 11:06 |
| AUT | R00000055 | A | 1001 YOUME LTD HK0000001001 | A00000007 | 1 | 3,500 | B0345602 | RA69 | 11:08 |

(18) TOTAL NO. OF RECORDS ADDED : 2
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 1
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

REMARKS: * INDICATES SUBSCRIPTION INSTRUCTION WITH CHATS PAYMENT

(7) WARRANT SUBSCRIPTION WITH BOND CONVERSION
 =====

| (8) ACTION TYPE | (9) INSTR.NO. | (10) STATUS | (11) / (29) / (46) ORIGINAL STOCK / BOND / ISIN | (14) ANCM. NO. | (19) STK A/C | SUBSCRIPTION QTY/ BOND QUANTITY (30) | (17) ---- ACTION BY ---- | | |
|--------------------|------------------|----------------|---|-------------------|-----------------|---|-----------------------------|------|-------|
| | | | | | | | USER | TERL | TIME |
| ADD | R00000139 | P | 1020 SHEME CO 1022 TOBICAL LTD | A00000024 | 1 | 12,000 12,606 | B0345601 | RA69 | 12:59 |
| AUT | R00000139 | A | 1020 SHEME CO 1022 TOBICAL LTD | A00000024 | 1 | 12,000 12,606 | B0345602 | RA69 | 1:10 |

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 0
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

REMARKS: * INDICATES SUBSCRIPTION INSTRUCTION WITH CHATS PAYMENT

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(1)CCNPT01 (2)B03456
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HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 20:02:50
 PAGE : 7

(6)DATE : 08FEB16

(7) REDEMPTION
 =====

| (8) ACTION TYPE | (9) INSTR.NO. | (10) STATUS | (11) ORIGINAL STOCK (46) ISIN | (14) ANCM. NO. | (19) STK A/C | (31) REDEMPTION QTY | (17) ---- ACTION BY ---- | | |
|--------------------|------------------|----------------|----------------------------------|-------------------|-----------------|------------------------|-----------------------------|------|-------|
| | | | | | | | USER | TERL | TIME |
| ADD | R00000289 | P | 1545 GRANDBOO HK0000001545 | A00008631 | 1 | 5,000 | B0345601 | RA69 | 10:18 |
| CHG(OLD) | R00000289 | P | 1545 GRANDBOO HK0000001545 | A00008631 | 1 | 5,000 | B0345601 | RA69 | 10:19 |
| CHG(NEW) | R00000289 | P | 1545 GRANDBOO HK0000001545 | A00008631 | 1 | 7,000 | B0345601 | RA69 | 10:19 |
| AUT | R00000289 | A | 1545 GRANDBOO HK0000001545 | A00008631 | 1 | 7,000 | B0345602 | RA69 | 10:22 |

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 1
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

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REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

(1)CCNPT01 (2)B03456
 (3)CCASS COMPANY

HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 20:02:50
 PAGE : 8

(6) DATE : 08FEB16

(7) UNIT TRUST CREATION/REDEMPTION
 =====

| (8) ACTION TYPE | (40) ORDER NO. | (41) ORDER TYPE | (10) STATUS | (11) STOCK (46) ISIN | (42) STK A/C | (43) ORDER QUANTITY | (17) ---- ACTION BY ---- | | |
|--------------------|-------------------|--------------------|----------------|-------------------------|-----------------|------------------------|-----------------------------|------|-------|
| | | | | | | | USER | TERL | TIME |
| ADD | R00000333 | C | PEND | 2800 HKITF TRUST | 1 | 8,000,000 | B0345601 | RA69 | 10:21 |
| CHG(OLD) | R00000333 | C | PEND | 2800 HKITF TRUST | 1 | 8,000,000 | B0345601 | RA69 | 10:28 |
| CHG(NEW) | R00000333 | C | PEND | 2800 HKITF TRUST | 1 | 9,000,000 | B0345601 | RA69 | 10:28 |
| AUT | R00000333 | C | AUTH | 2800 HKITF TRUST | 1 | 9,000,000 | B0345602 | RA69 | 10:35 |

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 1
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0
 TOTAL NO. OF RECORDS ACCEPTED : 0
 TOTAL NO. OF RECORDS REJECTED : 0
 TOTAL NO. OF RECORDS COMPLETED : 0
 TOTAL NO. OF RECORDS UNWINDED : 0

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REPORT SAMPLE 4.3.36 : NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT

(1)CCNPT01 (2)B03456
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HKSCC - CCASS
 NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
 (45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
 (5) RUN TIME : 20:02:50
 PAGE : 8

(6) DATE : 08FEB16

(7) INTRA-DAY PAYMENT STANDING INSTRUCTION

| (8) ACTION TYPE | (50) CURRENCY | (51) NOMINEES PAYMENT | (52) RFD OVERPAID CASH PREPAYMENT | (54) CNS MONEY OBLIGATIONS | (53) PAYMENT AMOUNT THRESHOLD | (10) STATUS | (17) ---- ACTION BY ---- USER TERL TIME | | |
|--------------------|------------------|-----------------------------|---|-------------------------------|-------------------------------------|----------------|---|------|-------|
| ADD | HKD | Y | N | Y | 8,000,000.00 | P | B0345601 | RA69 | 10:21 |
| CHG (OLD) | HKD | Y | N | Y | 8,000,000.00 | P | B0345601 | RA69 | 10:28 |
| CHG (NEW) | HKD | Y | Y | Y | 8,000,000.00 | P | B0345601 | RA69 | 10:28 |
| AUT | HKD | Y | Y | Y | 8,000,000.00 | A | B0345602 | RA69 | 10:35 |

(18) TOTAL NO. OF RECORDS ADDED : 1
 TOTAL NO. OF RECORDS CHANGED : 1
 TOTAL NO. OF RECORDS DELETED : 0
 TOTAL NO. OF RECORDS AUTHORIZED : 1
 TOTAL NO. OF RECORDS CANCELLED : 0

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(1)CCNPT01 (2)B03456
(3)CCASS COMPANY

HKSCC - CCASS
NOMINEE FUNCTIONS INPUT ACTIVITIES REPORT
(45) (MARKET - HONG KONG MK)

(4) RUN DATE : 08FEB16
(5) RUN TIME : 20:02:50
PAGE : 8

(6) DATE : 08FEB16

(7) NOMINEE PAYMENT (EVENING) STANDING INSTRUCTION

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| (8) ACTION | (50) | (51) | (10) | (17) | | |
|------------|----------|---------------------|--------|----------|-----------|-------|
| TYPE | CURRENCY | NOMINEES PAYMENT | STATUS | ---- | ACTION BY | ---- |
| ----- | ----- | ----- | ----- | USER | TERL | TIME |
| ADD | HKD | Y | P | B0345601 | RA69 | 11:21 |
| AUT | HKD | Y | A | B0345602 | RA69 | 11:35 |

(18) TOTAL NO. OF RECORDS ADDED : 1
TOTAL NO. OF RECORDS CHANGED : 0
TOTAL NO. OF RECORDS DELETED : 0
TOTAL NO. OF RECORDS AUTHORIZED : 1
TOTAL NO. OF RECORDS CANCELLED : 0

*** END OF REPORT ***