

FORM 1 – INDIVIDUAL SUBSTANTIAL SHAREHOLDER NOTICE

General Notes

1. This Form 1 is for use by an individual disclosing a notifiable interest in a Hong Kong listed corporation under Part XV of the Securities and Futures Ordinance (Cap. 571) ("SFO") who is not a director or chief executive of the listed corporation. Form 3A should be used by a person who is a substantial shareholder and also a director or chief executive of the listed corporation concerned (see the Special Notes on Page 8). You must complete the notice in accordance with the directions and instructions in these Notes and the notice with The Stock Exchange of Hong Kong.

10. In calculating the percentage figure of your interest in shares you must add together both ~~direct~~ ^{indirect} interests.

Electronic filing of notices

15. Upon the commencement of Part 4 of the Securities and Futures (Amendment) Ordinance 2014 on 3 July 2017 ("Commencement"), you should file this Form 1 electronically with SEHK by using the Disclosure of Interests Online System ("DION System") from HKEX website <https://sdinotice.hkex.com.hk>. Upon Commencement, other than in the circumstances set out in paragraph 19 below, notices sent by fax, by post, by email delivered by hand will not be accepted and will not be in compliance with the requirements under Part XV of the SFO.
16. Forms are available in Adobe Portable Document Format ("PDF") or in Microsoft Excel format. If you are a Windows user, you may download and file a notice using either format. If you are a Mac user, you may only download and file a notice in PDF. You may download a soft copy of this Form (and these Notes) for completion from HKEX website at <https://sdinotice.hkex.com.hk> or the SFC website <http://www.sfc.hk/web/EN/rule-book/sfo-part-xv-disclosure-of-interests/di-notices.html>. If you download this Form 1 from the HKEX website, you can either download (i) a complete blank Form without logging in the DION System; or (ii) blank Form prefilled with certain profile information after logging in the DION System. You can only download a complete blank Form from the SFC website. If you are using Excel format, you must click "Enable Content" when opening Excel forms - otherwise the macros will not work. If you are using PDF, you must click "Trust the document always" and save the changes.
17. You are also required to separately submit this Form 1 to the listed corporation concerned but SEHK will send this Form 1 to the listed corporation on your behalf if you complete and file this Form 1 properly. The completed Form 1 that you filed with SEHK will be sent to the listed corporation concerned based on the stock code and the date of relevant event on the Form. Based on the stock code on the Form, the system will file name of the listed corporation. If you decide to state a corporation name which is different from what is suggested by the system, there is a risk that the system is not able to associate the corporation name with the relevant stock code and thus fails to direct your Form to the relevant listed corporation.
18. Do not send copies of share purchase agreements and other documents to SEHK when filing this Form 1 (except in relation to copies of the documents concerned for the purpose of filing this Form 1).

- Box 4 Complete the name of the listed corporation in whose shares you are interested. The system will auto-fill the name of the listed corporation based on the date of the relevant event in Box 1 and the stock code in Box 3.
- Box 5 Select the class of shares in which you are interested. Some corporations have more than one class of share capital, each with voting rights (e.g. "A" and "H" shares). If you have an interest in 5% or more in each of two classes of shares, complete a separate Form 1 for each class of shares. However, if you file this Form to disclose your interests in ordinary shares and preference shares as share stapled units of a corporation, you need not complete two separate Form 1.

If you select "Other", state the class of shares in which you are interested in Box 24.

- Box 6 State the number of shares (in the class of shares in which you are interested) which have been issued at the time of the relevant event. You can find the number of shares issued on the HKEX website by clicking the link to the HKEX website on the Form or you can ask the corporation.

- Boxes 7 to 13 State your personal details as indicated. State your name in full as it appears on your Hong Kong Identity card ("HKID Card"). If you have no HKID Card, state your name in full as it appears on your passport. If you are a PRC resident who does not have a HKID Card and a passport, state your name as it appears on your PRC Resident Card. For example, a substantial shareholder whose name appears on his HKID Card as "Wong Ging Teng Anthony" would complete Box 7 as follows :

7. Name of substantial shareholder (English) as printed on HKID Card/Passport	
Wong	Ging Teng Anthony
(Surname)	(Other names)

Whereas a substantial shareholder who has no HKID Card and whose name appears in his passport as "Anthony James Hay Wood" would complete Box 7 as follows :

7. Name of substantial shareholder (English) as printed on HKID Card/Passport	
Wood	Anthony James Hay
(Surname)	(Other names)

You need not fill in Boxes 10 and 11 if you do not have a Chinese name. Equally you need not fill in Box 7 if you do not have an English name. You must provide an email address in Box 13. The data entered in Boxes 8, 12 and 13 (i.e. HKID Card/Passport/PRC Resident Card number, daytime telephone number and email address) will not be available for viewing by the public when searching the DI pages of the HKEX website.

If you have no HKID Card/passport/PRC Resident Card, select "Others" in Box 8 and provide details of your identification document under "HKID Card/Passport/PRC Resident Card number" column in Box 8.

- Box 14 State details of the relevant event (i.e. the event that triggers the notice). In the case of relevant events (i) to (iv) in General Note 5 the details that you must give in Box 14 relate to shares bought/sold or involved at that time – not the shares which you already have. Where the relevant event is prompted by a transaction that forms part of a series of transactions effected on the s7(C)1c .08275 TD .09.76 425.12 425.108275 TD -1.1533q5.12 425.10(7 t de- 533 TD .0167l)5.9(75 T0000

"Capacity in which shares were/are held" column

State the description which best describes the capacity in which the shares were/are held before and after the relevant event either by entering the Code from Table 2 or selecting the Code from the menu. If you have disposed of an interest in shares, select the Code describing the capacity in which you held the shares immediately before the disposal and enter this Code in the "Before relevant event" column. If you have ~~acquired~~ ^{acquired} an interest in shares, select the Code describing the capacity in which you held the shares immediately after your ~~acquisition~~ ^{acquisition} and enter this Code in the "After relevant event" column. If you are giving a notice of a change in the nature

Form 1

Box
20

Form 1

Group structure and holdings :

In this example, the entries in Box 20 would be as follows :

Form 1

Box 22 If you are a trustee of a trust, a beneficiary of a trust, or

immediately before the relevant event (referred to as “qualifie

Table 1 – Codes of Relevant Events

Please note that :

- (1) It may be necessary to go through two to three levels of questions before reaching a relevant event and an event code is only

Code No. (Level 1)	Code No. (Level 2)	Code No. (Level 3)	Description of event (Box 14)
(110)			The percentage level of your interest in the shares has increased because:
	1101		you purchased the shares
	1102		you were given the shares
	(1103)		you became the holder of, wrote or issued equity derivatives under which (choose one):
		11031	you have a right to take the underlying shares
		11032	you are under an obligation to take the underlying shares
		11033	you have a right to receive from another person an amount if the price of the underlying shares is above a certain level
		11034	you are under an obligation to pay another person an amount if the price of the underlying shares is below a certain level
		11035	you have any of the rights or obligations referred to in 11031 to 11034 above embedded in a contract or instrument
	1104		you acquired a security interest in the shares
	1105		you inherited the shares
	1106		you became a beneficiary under a trust interested in the shares
	1107		you took steps to enforce your rights in the shares you hold by way of security as a qualified lender
	1109		you entered into an agreement for the exchange of an instrument for another instrument in respect of the same underlying shares
	1110		you were placed the shares as a placee under a top-up placing
	1111		new shares were issued to you after you reduced your interest in shares by placing them to placee(s) under a top-up placing
	1112		you became a member of a concert party or a member of the concert party group acquired more of the shares
	1113		any other event (you must briefly describe the relevant event in the Supplementary Information box)
(120)			The percentage level of your interest in the shares has reduced because:
	1201		you completed a sale of the shares
	1202		you made a gift of the shares
	1203		you delivered the shares or an amount due under equity derivatives
	(1204)		expiry or cancellation without exercise of equity derivatives under which (choose one):
		12041	you had a right to take the underlying shares
		12042	you were under an obligation to take the underlying shares
		12043	you had a right to receive from another person an amount if the price of the underlying shares was above a certain level
		12044	you were under an obligation to pay another person an amount if the price of the underlying shares was below a certain level
		12045	you had any of the rights or obligations referred to in 12041 to 12044 above embedded in a contract or instrument
	1205		you ceased to have a security interest in the shares
	1206		you did not take up, or sold, rights in a rights issue
	1208		you entered into an agreement for the exchange of an instrument for another instrument in respect of the same underlying shares
	1209		you placed the shares as placee(s) under a top-up placing
	1210		new shares were issued in a top-up placing
	1211		you have ceased to be a member of a concert party group or a member of the concert

Form 1

Code No. (Level 1)	Code No. (Level 2)	Code No. (Level 3)	Description of event (Box 14)
	1301		the shares have been delivered to you and you have not previously notified the purchase of the shares
	1302		

Code No. (Level 1)	Code No. (Level 2)	Code No. (Level 3)	Description of event (Box 14)
	(1601)		Notice under section 5(4) of the Securities and Futures (Disclosure of Interests – Securities Borrowing and Lending) Rules by approved lending agent (choose one) –
		16011	the percentage level of your interest in the shares held in your lending pool is taken to have increased
		16012	the percentage level of your interest in the shares held in your lending pool is taken to have reduced
	(1602)		Notice under section 5(4) of the Securities and Futures (Disclosure of Interests – Securities Borrowing and Lending) Rules by person that controls an approved lending agent (choose one):
		16021	the percentage level of your interest in the shares held in the lending pool of the approved lending agent is taken to have increased
		16022	the percentage level of your interest in the shares held in the lending pool of the approved lending agent is taken to have reduced
(170)			Miscellaneous
	1701		On listing of the corporation or a class of shares of the listed corporation
	1702		Notice filed to remove outdated information if you select this Code you must state the outdated information in the Supplementary Information box and identify the box which contains the updated information)
	1703		Notice filed because of a change in the threshold for disclosure
	1704		Notice filed because you ceased to have a notif

Table 2 – Codes of Capacity

Please note the same set of capacity codes apply to all Forms so some code numbers are "skipped" because certain capacities are not relevant to this Form.

Code No.	Description of the capacity in which you held the interest or short position in shares that is acquired, disposed of or changed (Boxes 14 and 17)
	Common capacities
2101	Beneficial owner
2103	Interests held jointly with another person
2104	Agent
2105	Underwriter
2106	Person having a security interest in shares
	Interests by attribution
2201	Interest of corporation controlled by you
2202	Interest of your spouse
2203	Interest of your child under 18 years of age
	Trusts and similar interests
2301	Trustee
2304	Executor or administrator
2305	Beneficiary of a trust (other than a discretionary interest)
2306	Nominee for another person (other than a bare trustee)
2307	Founder of a discretionary trust who can influence how the trustee exercises his discretion
	Persons acting in concert
2401	A concert party to an agreement to buy shares described in s.317(1)(a)
2402	A person making a loan or providing security to buy shares described in s.317(1)(b)
	Miscellaneous
2501	Other (you must describe the capacity in the Supplementary Information box)
2502	Approved lending agent

Table 3 – Codes of Nature of Consideration

Code No.	Description of consideration for off-exchange transactions (Box 14)
3101	Cash
3102	Assets other than cash
3103	Surrender of rights to shares/debentures
3104	Services

Table 4 – Codes of Category of Derivatives

Code No.	Common categories of derivatives (Box 18)
	Listed derivatives
4101	Physically settled
4102	Cash settled
4103	Convertible instruments
4104	Other (you must describe the category of derivatives in the Supplementary Information box)
	Unlisted derivatives
4105	Physically settled
4106	Cash settled
4107	Convertible instruments
4108	Other (you must describe the category of derivatives in the Supplementary Information box)

Table 5 – Codes of Status in relation to a Trust

Code No.	Status in relation to a trust (Box 22)
5101	Trustee of a trust
5102	Beneficiary of a trust (other than a discretionary interest)
5103	Founder of a discretionary trust who can influence how the trustee exercises his discretion