

FORM 3C – DIRECTOR’S/CHIEF EXECUTIVE’S NOTICE

NOTIFICATION OF INTERESTS IN DEBENTURES OF LISTED CORPORATION

General Notes

1. This Form 3C is for use by a director or chief executive disclosing an interest in debentures of a Hong Kong listed corporation of which he/she is a director or chief executive under Part XV of the Securities and Futures Ordinance (Cap. 571) (“the Ordinance”). You must complete the notice in accordance with the directions and instructions in these Notes and then file the notice with The Stock Exchange of Hong Kong Limited (“SEHK”) and the listed corporation concerned at the same time or one immediately after the other.
2. Use :
 - Form 1 if you are an individual with an interest of 5% or more of the voting shares of a listed corporation (and are not a director or chief executive of the listed corporation).
 - Form 2 if you are a corporation with an interest of 5% or more of the voting shares of a Hong Kong listed corporation making a disclosure.
 - Form 3A if you are notifying interests in shares of the listed corporation of which you are a director or chief executive.
 - Form 3B if you are notifying interests in shares of any associated corporation of the listed corporation of which you are a director or chief executive.
 - Form 3D if you are notifying interests in debentures of any associated corporation of the listed corporation of which you are a director or chief executive.

Please use separate forms to disclose your interests if you are interested in more than one class of shares or debentures of a listed corporation of which you are a director or chief executive, or an associated corporation of that listed corporation. Chinese versions of these forms are also available.

Meaning of “you” and “debentures” in Form 3C and these Notes.

3. In Form 3C and these Notes the word “you” refers to the person that is the director or chief executive. The term “debentures” describes interests in the debentures of the listed corporation of which you are a director or chief executive.
4. A director or chief executive must give notification of interests in debentures of a listed corporation. The term “debenture” includes debenture stock, bonds and other securities of a corporation whether constituting a charge on the assets of the corporation or not.

“Relevant event”

5. You must give notification of interests in debentures of a listed corporation on the occurrence of certain events - called “relevant events” (see s. 308 of the Ordinance). If you are a director or chief executive of a listed corporation relevant events include :
 - (i) When you become interested in the debentures of the listed corporation.
 - (ii) When you cease to be interested in such debentures.
 - (iii) When you enter into a contract to sell any such debentures.
 - (iv) When you assign any right granted to you by the listed corporation to subscribe for such debentures.
 - (v) When the nature of your interest in such debentures changes.
 - (vi) If you have an interest in debentures of a listed corporation at a time when it becomes a listed corporation.
 - (vii) On commencement of the Ordinance, if you have an interest in debentures that has not previously been disclosed.
 - (viii) If you have an interest in debentures of a listed corporation when you become a director or chief executive of that corporation.

A notification of relevant events (vi) to (viii) is described in Form 3C and these Notes as an “Initial Notification”.

Timing of notification

6. In the case of events (i) to (v) in Note 5 above, you must give the notification within 3 business days of the day on which you became aware of the relevant event. The term “business day” means a day other than a public holiday and a day on which a black rainstorm warning, or a gale warning, is in force i.e. it would normally include Saturdays but not Sundays. The period is calculated excluding the day that the relevant event occurred.

For an Initial Notification, you must normally give the notification on this Form 3C within 10 business days after the relevant event. However, if at that date you were not aware that you had an interest in the debentures of the listed corporation concerned, then you must give the notification within 10 business days of the day you became aware that you had such an interest.

The period allowed for filing a notice runs from the time you know of the facts that constitute the event (e.g. the purchase of the debentures or the delivery of the debentures), not the day that you realize that the event gave rise to a duty of disclosure under Part XV.

Working out the amount of debentures in which you are interested

7. In calculating the total amount of debentures in which you are interested you must include all joint interests (see Note to Box 20 below), and any interests in debentures of the same listed corporation that any of the following persons and trusts have :
- (i) Your spouse and any child of yours under the age of 18 (see notes to Box 18);
 - (ii) A corporation which you control (a corporation is a “controlled corporation” if you control one-third or more of the voting power at general meetings of the corporation, or if the corporation or its directors are accustomed to act in accordance with your directions) (see notes to Box 19);
 - (iii) A trust, if you are a trustee of the trust (other than a trust where you are a bare trustee i.e. where you have no powers or duties except to transfer the debentures according to the directions of the beneficial owner) (see notes to Box 21);
 - (iv) A discretionary trust, if you are the “founder” of the trust (e.g. you had the trust set up or put assets into it), and can influence how the trustee exercises his discretion (see notes to Box 21);
 - (v) A trust of which you are a beneficiary.

General

8. The “Outline of Part XV” (“Outline”) published by the Securities and Futures Commission (“SFC”) gives further guidance on the situations in which a notice will have to be filed under Part XV. A copy of the Outline can be downloaded from the SFC’s web site <http://www.hksfc.org.hk>. However, when making a disclosure you must satisfy yourself of the requirements of the Ordinance, and if in doubt, please seek appropriate legal advice.
9. Forms are available in Adobe Portable Document format (“PDF”) for printing out and completion in manuscript or in Microsoft Excel format for completion offline using the Excel program. You may file a notice using either format. Please use block letters (preferably type-written) when completing the PDF version of this Form. If there is insufficient space in any box please use continuation sheets to complete your disclosures. Copies of continuation sheets for those boxes that may need to be extended can be found on the soft copy of the Excel version of this Form 3C which can be downloaded from the HKEx web-site (see paragraph 13 below).
10. Do not send copies of any purchase agreements and other documents to SEHK or the listed corporation concerned when filing this Form 3C. Attaching a document that explains the transaction in question does not discharge the duty to complete the prescribed form. Copies of any documents that are sent to SEHK will be available for inspection by the public.
11. You must file a copy of this Form 3C (without these Notes) with the listed corporation at its registered office or principal place of business in Hong Kong and a separate copy of this Form (without these Notes) with SEHK using one of the following methods :

By Post -

Primary Market Information

By Hand -

Primary Market Information

By Fax -

Fax No. 2845 6328

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E-Business & Information Services Hong Kong Exchanges and Clearing Ltd. G.P.O. Box 10023 Hong Kong	E-Business & Information Services Hong Kong Exchanges and Clearing Ltd. Tower I & II, Exchange Square Central, Hong Kong
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Ref: DI Forms

Ref: DI Forms

12. The G.P.O. Box set out above is a dedicated P.O. Box for use of DI forms submission only. Please do not use the general SEHK P.O. Box. For security reasons, no other SEHK fax number should be used. Telephone confirmations of fax notification can be obtained from 2523 3799. Please restrict use of this service to significant or price sensitive notifications.

Electronic filing of notices

13. Instead of sending Form 3C to SEHK in the manner set out in note 11 you can file this Form 3C electronically with SEHK. To file electronically please download a soft copy of Form 3C from the HKEx web-site <https://sdinotice.hkex.com.hk> and complete the form off-line. Then file the form with SEHK following the instructions regarding electronic filing which are posted on the web-site. Listed Corporations can download and file the form by using the e-Submission System from the web site <https://www.esubmission.hkex.com.hk>. You must file a separate copy of the form with the listed corporation concerned by printing out the completed Excel form and sending it to the listed corporation by hand, by post, by fax or by email.

Specific Notes

If you are giving notification that you have ceased to be interested in debentures of a listed corporation (i.e. event (ii) in Note 6 above) then you need only complete boxes 1 to 15 and 22 to 24 of Form 3C. In the case of other events complete all boxes that apply to you. If there are some boxes in the Form that do not apply to you these should be either left blank or you should insert "NIL". If you complete the box in any other manner this will either be treated as part of your notification or it will generate an exception report.

Information relating to the listed corporation

- Box 1 Please complete the name of the listed corporation of which you are a director or chief executive.
- Box 2 You can find the stock code on the HKEx web site . Alternatively you can get it from the corporation itself or a newspaper.
- Box 3 Please select from table 1 below the Code which best selects the class of debentures in which you are interested and enter that Code in Box 3. If you have an interest in two classes of debentures then you should complete a separate notice for each class of debentures.

Table 1 Category of debentures	Code
Freely transferable and convertible into shares of the listed corporation	701
Freely transferable and convertible into shares of a corporation other than the listed corporation	702
Not freely transferable but convertible into shares of the listed corporation	703
Not freely transferable but convertible into shares of a corporation other than the listed corporation	704
Not freely transferable and not convertible into shares of a corporation	705
Other	706

In the event that codes 701 or 703 apply then you have an interest in shares of the listed corporation and must also file a notice on form 3A in addition to this form 3C.

- Box 4 Please state the amount of debentures of the same class of debentures in which you are interested that have been issued at the date of the relevant event. You can find the amount of debentures issued by each listed corporation by asking the listed corporation concerned.

Information relating to the director or chief executive

Boxes 5 to 11. State the details as indicated. Please state your name in full as it appears on your Hong Kong identity card. If you have no Hong Kong identity card please state your name in full as it appears on your passport, with your surname first. For example, a director whose name appears on his HKID Card as “Wong Ging Teng Anthony” would complete Box 5 as follows :

5. Name of director (English) as printed on HKID/Passport	
Wong (Surname)	Ging Teng Anthony (Other names)

Whereas a director who has no HKID Card and whose name appears in his passport as “Anthony James Hay Wood” would complete Box 5 as follows :

5. Name of director (English) as printed on HKID/Passport	
Wood (Surname)	Anthony James Hay (Other names)

You need not fill in Boxes 8 and 9 if you do not have a Chinese name. Equally you need not fill in Box 5 if you do not have an English name. Box 11 is optional. The data entered in Boxes 6, 10 and 11, (i.e. HKID/Passport number and telephone number and e-mail address) will not be available for viewing by the public when searching the DI pages of the HKEx web-site. If completing Form 3C using Excel please enter your telephone number and Chinese Character Code without any gaps or blanks (e.g. 12345678 rather than as 1234 5678).

Information relating to the relevant event

Box 12 Please state the date of the relevant event (explained in Note 5) which gave rise to the Notice.

Box 13 In the case of events (i) to (v) in Note 5, if you became aware of the relevant event on a date later than the date that it occurred, then put the date that you became aware of the event that triggers the reporting obligation in Box 13.

For an Initial Notification, if you were not aware that you had an interest in the debentures of the listed corporation at the date of the relevant event, then put the date that you became aware that you had an interest in the debentures in Box 13.

Box 14 Box 14 asks for details of the relevant event. This is the event that triggers the Notice. In the case of relevant events (i) to (v) in Note 5 the details that you must give in Box 14 relate to the debentures bought/sold or involved at that time – not the debentures which you already have.

In the case of an Initial Notification the details that you must give relate to the debentures bought by you in the 4 months immediately before the date of the relevant event.

In Box 14 column 1 enter the Code from Table 2 below which best describes the relevant event. You will see from Note 7 above that if a person connected with you acquires an interest in debentures their interest will be treated as your interest. For example, if a company that you control acquires debentures of the listed corporation you should treat the acquisition as your acquisition and use the appropriate Code – in this case 160.

Table 2 – Event or change	Code
<i>Acquiring an interest</i>	
Becoming interested in debentures of the listed corporation. This includes all acquisitions whether by purchase or gift, or by rights/bonus issue or taking a security interest in debentures	160
<i>Ceasing to have an interest</i>	
Ceasing to have an interest in debentures of the listed corporation	161
<i>Changes in nature of an interest</i>	
Entering into a contract to sell debentures of the listed corporation	162
Exercising a right or an option in respect of debentures of the listed corporation	163
<i>Miscellaneous</i>	
Assigning a right granted by the listed corporation to subscribe for debentures of the listed	164

corporation	
On listing of the listed corporation of which you are a director or chief executive if you have an interest in debentures of the corporation	165
On commencement of the Ordinance if you have an interest in debentures of the listed corporation	166
On becoming a director or chief executive if you have an interest in debentures of the listed corporation	167
Other (This covers any notifiable event not mentioned above)	168

Select from table 3 below the Code which best describes the capacity or nature of your interest and enter the Code in Box 14 column 2 and/or 3. If you have disposed of an interest in debentures you should choose the Code describing the capacity in which you held the debentures immediately before you disposed of them and enter this Code in Box 14 column 2. If you have acquired an interest in debentures you should choose the Code describing the capacity in which you held the debentures immediately after you acquired them and enter this Code in Box 14 column 3. If you are giving notice of a change in the nature of your interest in debentures, you should complete the Codes describing the capacity in which you held your interest in those debentures before and after the relevant event i.e you must complete both columns 2 and 3. If you are or were the beneficial owner but another Code also applies, please use the latter Code rather than Code 201.

Table 3 – Capacity	Code
Beneficial owner	201
Person having a security interest in debentures	203
<i>Interests by attribution</i>	
Interest of your child under 18 or spouse	204
Interest of corporation controlled by you	205
<i>Trusts and similar interests</i>	
Nominee for another person (other than a bare trustee)	206
Trustee (other than a bare trustee)	207
Custodian	208
Founder of a discretionary trust (see General Note 7(iv))	209
Beneficiary of a trust	210
<i>Miscellaneous</i>	
Interests held jointly with another person	213
Other	214

In Box 14 column 4 choose the currency in which the price for the interest in debentures described in column 6 was paid or received.

In Box 14 column 5 state the denomination or unit size of the debentures concerned (e.g. \$5,000 in the worked example below).

In Box 14 column 6 state the amount of debentures concerned (e.g. the amount of debentures you bought that triggered the disclosure obligation). In the case of a change in the nature of an interest (e.g. on exercise of an option) then the amount of debentures affected by the change should be stated.

Lastly, state the consideration per unit of the debentures paid or received (for the interest in debentures described in column 6) in Box 14 columns 7/8 or 9/10 under “On Exchange” or “Off Exchange” as appropriate. In column 7 you should state the highest price per unit of the debentures whilst in columns 8 and 9 you should state the average price/consideration per unit of the debentures. An acquisition or disposal is made “On-Exchange” when the transaction took place in the ordinary course of trading on a recognized exchange and “Off-Exchange” covers all other transactions. If no price or consideration has been paid or received, or if the consideration is services provided, the price or consideration should be stated as “0”. Codes describing the principal types of consideration for Off-Exchange transactions are set out in Table 4 below. Using Table 4 select the Code which best describes the nature of the consideration you paid or received and enter it in Box 14 column 10.

If the transaction that prompts disclosure is a change in the nature of your interest in debentures (e.g. due to the exercise of an option), the highest price per unit and the average price per unit (average amount and nature of the consideration for off-exchange trades) should be left blank in Box 14.

In the case of an Initial Notification the details that must be given in column 8 or 9 of the average prices/consideration paid for the interest in debentures described in column 6 relate to the average prices/consideration paid by you in the 4 months immediately before the relevant date. Similarly the nature of the consideration given in column 10 relates to the nature of the consideration paid by you in the 4 months immediately before the relevant date.

Table 4 - Nature of consideration	Code	Nature of consideration	Code
Cash	301	Surrender of rights to debentures	303
Assets other than cash	302	Services	304

Examples for completing Box 14.

The first example shows how Box 14 should be completed for relevant events (i) to (vi) in Note 5. Assume that you are a director who already owns debentures of the listed corporation of which you are a director of a principal amount of HK\$4,500,000. The debentures are issued in denominations, or units, of HK\$5,000 each. On 31st December 2003 you purchased (directly from the listed corporation) bonds (one form of debentures) of a principal amount of HK\$400,000 for consideration of HK\$360,000 paid in cash (all bonds to be held beneficially). The relevant date to be inserted in Box 12 would be "31.12.2003" and you should complete Box 14 in the following manner.

14. Details of relevant event

Code describing circumstances (see Table 2)	Code describing capacity in which debentures were/are held (see Table 3)		Currency	Denomination or unit size of debentures	Amount of debentures bought/ sold or involved	On Exchange		Off Exchange	
	Before relevant event	After relevant event#				Highest price per unit	Average price per unit	Average consideration per unit	Code describing nature of consideration (see Table 4)
160	0	201	HKD	5,000	400,000	0	0	4,500	301

The second example shows how Box 14 should be completed for in the case of an Initial Notification. Assume that you are a person who, prior to 1st September 2003 owns bonds of the listed corporation of a principal amount of HK\$4,500,000. The bonds are issued in denominations, or units, of HK\$5,000 each. On 31st December 2003 you are appointed a director of the listed corporation. On 15th September 2003 you had purchased (directly from the listed corporation) bonds of a principal amount of HK\$400,000 for consideration of HK\$360,000 paid in cash (all such debentures to be held as trustee). The relevant date to be inserted in Box 12 would be "31.12.2003" and you should complete Box 14 in the following manner.

14. Details of relevant event

Code describing circumstances (see Table 2)	Code describing capacity in which debentures were/are held (see Table 3)		Currency	Denomination or unit size of debentures	Amount of debentures bought/ sold or involved	On Exchange		Off Exchange	
	Before relevant event	After relevant event				Highest price per unit	Average price per unit	Average consideration per unit	Code describing nature of consideration (see Table 4)
167		207	HKD	5,000	400,000	0	0	4,500	301

Total amount of debentures of listed corporation in which you are interested

Box 15 In column 2 of Box 15 state the total amount of debentures in the listed corporation concerned in which you were interested, immediately before the relevant event. In column 3 please state the total amount debentures in the listed corporation concerned in which you were interested immediately after the date of the relevant event.

Both of these totals include all joint interests and deemed interests (see note 7). Based on the first example given in Box 14 the amount of debentures in column 2 would be \$ 4,500,000 and in column 3 \$4,900,000. In the second example the figure in both columns would be \$4,900,000.

Capacity in which interests in column 3 of Box 15 are held – required for Initial Notification only

Box 16 If the notification is an Initial Notification you must complete Box 16. Select from table 3 the Code which best describes the capacity in which you hold the debentures listed in column 3 of Box 15 (total amount of debentures immediately after the relevant event) and enter that Code in Box 16 column 1. If you hold some of your interests in one capacity (e.g. as beneficial owner), and other interests in another capacity (e.g. as trustee) then use two Codes (on different rows) and state the amount of the interests in debentures held in each capacity (on different rows) in column 2.

Debentures and rights to debentures granted by the listed corporation

Box 17 If this is an Initial Notification, you must give details in relation to all debentures and rights to debentures granted to you by the listed corporation.

If the debentures or rights to subscribe for debentures described in Box 14 have been granted to you by the listed corporation then you must give details of those debentures or rights in Box 17. If you have an option in respect of, the debentures please state in Box 17 column 1 the first date that the option can be exercised and in column 2 the last date on which the option can be exercised. If the relevant event was :

- (i) the grant of or rights to subscribe for the debentures - when you should state the price paid or received, or the consideration given or received, for the grant of the debentures or rights to subscribe for the debentures in column 3.
- (ii) the exercise of rights to subscribe for the debentures - when you should state the price paid or received, or the consideration given or received, on the exercise of rights to subscribe for the debentures in column 4.
- (iii) the assignment of the debentures or of rights to subscribe for the debentures - when you should state the price paid or received, or the consideration given or received, on the assignment of the debentures or rights to subscribe for the debentures in column 5.

If no price was paid or received, and no consideration given or received, then you should state “0” in the column which applies to you. In column 6 state the amount of debentures involved.

If the debentures were granted to any of the persons mentioned in Note 7 by the listed corporation, and the relevant event is the grant, the exercise of rights under or the assignment of those debentures then you must give the details mentioned in the preceding paragraphs.

Interests of children under 18 and/or spouse

Box 18 If your spouse (or child under 18) is interested in debentures in the same listed corporation then your spouse’s interest/your child’s interest is taken to be your interest. That interest should also have been taken into account in completing the total amount of debentures in which you are interested in Box 15.

If this is an Initial Notification, you must complete Box 18 if your spouse/child has debentures in the listed corporation. State the name and address of the spouse (or child under 18), his/her address and the amount of debentures in which you are interested through your spouse (or child under 18) in Box 18.

If this is not an Initial Notification, you must only give details if your spouse (or child under 18) was interested in the debentures involved in the relevant event. State the name and address of the spouse (or child under 18), his/her address and the amount of debentures involved in the relevant event in which he/she was interested.

The data entered in column 2 of Box 18 (the address of children and/or spouse) will not be available for viewing by the public when searching the DI pages of the HKEx web-site.

Interests held by a corporation which you control

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Box 19 If you are (a) entitled to exercise, or control the exercise of, one-third or more of the voting power at general meetings of a corporation, or (b) a corporation or its directors are accustomed to act in accordance with your directions, and that corporation is interested in debentures of the listed corporation concerned then the corporation's interest will be taken to be your interest. Details of that interest must also be taken into account in completing Box 15.

If this is an Initial Notification, you must complete Box 19 if a corporation that you control (referred to in these notes as a "controlled corporation") has debentures in the listed corporation. . If there is more than one corporation then details of each corporation must be stated separately. Use a continuation sheet if there is not enough room (copies of continuation sheets for Box 19 can be found on the soft copy of the Excel version of Form 3C which can be downloaded from the HKEx website <https://sdinotice.hkex.com.hk>).

If this is not an Initial Notification, you must only give details if a corporation that you control was interested in the debentures involved in the relevant event. State the name and address of the corporation that you control and the amount of debentures involved in the relevant event in which it was interested.

Box 19 should be completed as follows -

Column 1: State the name of the controlled corporation

Column 2: State the address and place of incorporation (in brackets) of the controlled corporation.

Column 3: If you control the controlled corporation state your name in column 3. If another corporation named in column 1 of Box 19 controls the controlled corporation then state that corporation's name in column 3.

Column 4: State the percentage of the shares in the controlled corporation that the person named in column 3 controls.

Column 5 : If the controlled corporation holds the interest in debentures of the listed corporation directly (as opposed to the interest being a deemed interest) please place a "Y" in column 5, if the interest is a deemed interest please place a "N" in column 5. If the controlled corporation holds some debentures of the listed corporation directly, and some debentures indirectly, details of the interest held directly should be given in one row of Box 19 and the debentures held indirectly (the deemed interest) should be given in the following row (see the example below where the direct and indirect interests of Wong Industries Ltd. are stated separately)..

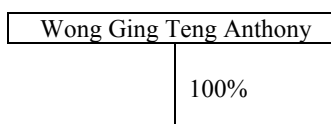
Column 6: State the amount of debentures of the listed corporation in which the controlled corporation is interested.

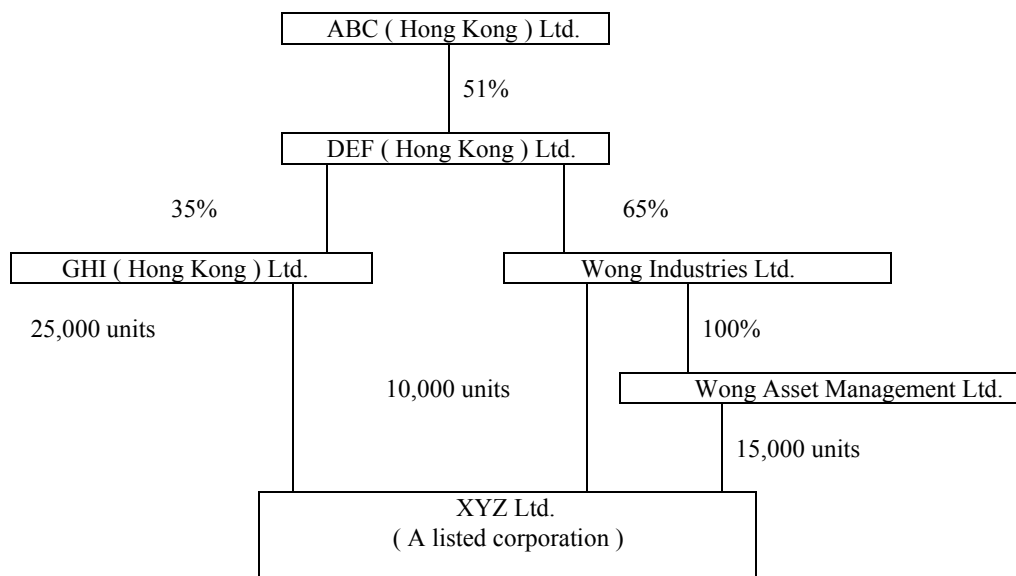
Example of how to complete Box 19.

Assume that Mr. Wong Ging Teng, is appointed a director of XYZ Ltd. (a listed corporation). He owns 100% of the shares in a private corporation ABC (Hong Kong) Ltd. which owns 51% of the shares in DEF (Hong Kong) Ltd. which owns 35% of GHI (Hong Kong) Ltd. and 65% of Wong Industries Ltd. Wong Industries Ltd. in turn owns 100% of the shares in Wong Asset Management Ltd.

The group holdings of debentures in XYZ Ltd. are as follows: GHI (Hong Kong) Ltd. owns 25,000 units (of HK\$ 5,000 each) of XYZ Ltd. 7% notes maturing on 12-2-2003. Wong Industries Ltd. owns 10,000 units of the same notes and Wong Asset Management Ltd. owns 15,000 units.

Group structure and holdings





In this example the entries in Box 19 would be as follows –

19. Further information in relation to interests of corporations controlled by director

Name of controlled corporation	Address and place of incorporation	Name of controlling Shareholder	% control	Direct Interest	Amount of debentures
ABC (Hong Kong) Ltd.	Unit 1, 26/F Wong Industrial Bldg Chai Wan, HK (Hong Kong)	Wong Ging Teng Anthony	100%	N	HK\$250,000,000
DEF (Hong Kong) Ltd.	Unit 1, 26/F Wong Industrial Bldg Chai Wan, HK (Hong Kong)	ABC (Hong Kong) Ltd.	51%	N	HK\$250,000,000
GHI (Hong Kong) Ltd.	Unit 1, 26/F Wong Industrial Bldg Chai Wan, HK (Hong Kong)	DEF (Hong Kong) Ltd.	35%	Y	HK\$125,000,000
Wong Industries Ltd.	Unit 1, 26/F Wong Industrial Bldg Chai Wan, HK (Bermuda)	DEF (Hong Kong) Ltd.	65%	Y	HK\$ 50,000,000
Wong Industries Ltd.	Unit 1, 26/F Wong Industrial Bldg Chai Wan, HK (Bermuda)	DEF (Hong Kong) Ltd.	65%	N	HK\$ 75,000,000
Wong Asset Management Ltd.	Unit 1, 26/F Wong Industrial Bldg Chai Wan, HK (British Virgin Islands)	Wong Industries Ltd.	100%	Y	HK\$ 75,000,000

Joint interests

Box 20 If you are interested in debentures of the listed corporation concerned jointly with another person then you are both taken to be interested in all of the debentures held jointly. Details of that interest must also be taken into account in completing Box 15.

If this is an Initial Notification, you must complete Box 20 if you are interested in debentures of the listed corporation concerned jointly with another person. State the name of the person who owns the interest in the debentures jointly with you, his/her address and the amount of debentures in which he/she is interested in Box 20.

If this is not an Initial Notification, you must only give details if the debentures in which you are interested jointly with another person were involved in the relevant event. State the name of the person who owns the interest in the debentures jointly with you, his/her address and the amount of debentures involved in the relevant event in which he/she was interested.

Interests of trustee or beneficiary of a trust or person who has set up a discretionary trust

Box 21 If you are : (a) a trustee of a trust, (b) a beneficiary of a trust, or (c) a person who is the “founder” of a discretionary trust (e.g. you have had a discretionary trust set up or put assets into a discretionary trust) and can

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influence how the trustee exercises his discretion, then you are taken to be interested in all of the debentures of the listed corporation in which the trust has an interest. Details of that interest must also be taken into account in completing Box 15. Ignore an interest in reversion or remainder, an interest of a bare trustee.

If this is an Initial Notification, you must complete Box 21 if you are interested in debentures of a listed corporation through a trust. You need not state the name of the Trust which owns the interest in the shares and its address in Box 21 columns 1 and 2 if you wish these to remain private. Select from Table 5 below the Code which best describes your status in relation to the trust and enter the Code in Box 21 column 3. State the amount of debentures in which the trust is interested in Box 21 column 4.

Table 5 - Status in relation to a trust	Code
Trustee of a trust	501
Beneficiary of a trust	502
Founder of a discretionary trust	503

If this is not an Initial Notification, you must only give details if the debentures in which you are interested through a trust were the debentures involved in the relevant event. State the name of the Trust which owns the interest in the debentures, its address and the amount of debentures involved in the relevant event in which the trust was interested.

Box 22 Date Form 3C the same day as it is filed with SEHK.

Box 23 Please state the number of continuation sheets of the form. There should only be continuation sheets where the Boxes in the form were not big enough to take all of the details required to be provided. If you are filing electronically or if there are no continuation sheets, you need not complete Box 23.

Box 24 Please state the number of attachments filed with the form. There should be no attachments save in exceptional circumstances. If you are filing electronically, or if there are no attachments, you need not complete Box 24.

Signing of Form 3C

Forms filed by post, by hand or by fax need not be signed. If you are filing electronically you may sign the Form with a digital signature (as defined in section 2(1) of the Electronic Transactions Ordinance Cap. 553) but this is also not required.