

Notes to the Reportable Short Position Form

1. The Reportable Short Position Form (the Form) to be submitted to the Securities and Futures Commission (the Commission) pursuant to Rule 4(2) or 4(4) of the Securities and Futures (Short Position Reporting) Rules (L.N. 48 of 2012) (the Rules) must be completed in accordance with the directions and instructions set out in these Notes. A copy of the Form is attached at Appendix I for reference.
2. Unless otherwise specified, the words and phrases used in these Notes have the meanings given by the Rules or the Securities and Futures Ordinance (Cap. 571) (the SFO), as appropriate.

Registration

3. Pursuant to section 402 of the SFO, the Commission has specified the Form published on the Short Position Reporting Service (the SPR Service) shall be used for submission under Rule 4(2) or 4(4) of the Rules.
4. The SPR Service is the online communication system designated by the Commission under Rule 5 of the Rules. It is available on the SFC Online Services Portal (the Portal) which can be accessed through SFC's website (www.sfc.hk).
5. Prior to first time reporting, a person who has the duty to notify the Commission of his reportable short position under the Rules must register with the SPR Service. Upon successful registration, a unique identifier code, the Short Position Reporting ID (SPRID) will be assigned to the person. As explained below, this SPRID must be cited when this person submits a Form in relation to his reportable short position. If any of the particulars provided at registration changes, the person must update the particulars by re-registering to obtain a new SPRID before submitting a Form. The newly assigned SPRID will have to be cited on the Form in place of the old one in future reporting.
6. If a person who has the duty to notify the Commission of his reportable short position under the Rules appoints an agent to submit the Form on his behalf, his

agent must also register and obtain a SPRID. Likewise, the agent must quote his SPRID when he submits a Form for his principal.

7. In cases of partners in a partnership who have a reportable short position, the person or a partner who is authorised by all those partners (the authorised person) to submit a Form on behalf of all the partners will have to register to obtain a SPRID in the name of the partnership. At registration, the authorised person will be required to provide, by uploading onto the registration webpage, the particulars of all the partners in the partnership in the prescribed format shown below. Please refer to the Short Position Reporting Service User Guide published on SFC's website for details.

<i>Name of Partnership:</i> <i>(Fields marked with * are mandatory)</i>	Partner 1	Partner N
Name*			
Identification Document Type*			
Identification Number*			
Registered Office / Correspondence address*			
Postal Code			
Country / Region*			
Nature of Business*			
Corporate Website			
Primary Contact Person			
- Name*			
- Email Address*			
- Contact No.*			
- Fax No.			
Secondary Contact Person			
- Name			
- Email Address			
- Contact No.			
- Fax No.			
Remarks			

Completing Reportable Short Position Form

Please refer to the Form at Appendix I for the box number reference.

8. Box 1 - SPRID of the person submitting the Form

Box 1 asks for the SPRID of the person submitting the Form. If the person who has the reportable short position is submitting the Form, he has to provide his SPRID in Box 1. On the other hand, if an agent has been appointed to carry out the submission, then the agent has to cite his SPRID in Box 1.

9. Box 2 - name of the person submitting the Form

This refers to the name of the person who has been assigned the SPRID in Box 1. In order to proceed with the submission, the name provided in Box 2 must be identical to that provided at registration to obtain the SPRID in Box 1.

10. Box 3 -13 – information of contact person

Information of an additional contact person (other than the contact person(s) specified at registration) may be provided to answer any queries on the Form. Alternatively, Box 3 is to be checked if the same contact person(s) specified at registration is to fulfil this role.

11. Box 14 – date of reporting day

For weekly reporting under Rule 4(2), the date of the reporting day will automatically appear; however, as soon as the reporting deadline for that particular reporting day has passed, the date of that reporting day will be moved to box 15 – late submission. On the other hand, when daily reporting is required under Rule 4(4), the dates of the current reporting day and the last preceding reporting day will be displayed for selection.

12. Box 15 and 16 – late submission

In cases of late submissions after a reporting deadline for a particular reporting day, Box 15 must be checked to select the date of the relevant reporting day. The reason(s) for failing to submit the Form in accordance with Rule 4(2) or 4(4), whichever is applicable, may be provided in Box 16.

13. Box 16 - remarks

Apart from late submission cases, other information which the person submitting the Form considers may be useful to the SFC in relation to the Form or the reportable short position may be provided in Box 16.

14. Box 17 – reportable short position particulars

The reportable short position particulars, provided in the format as prescribed in paragraphs 15 and 16 below, must be uploaded onto Box 17.

Template for Reportable Short Position Particulars

15. The SPRID of the person who has the reportable short position in the specified shares, the particulars of the net short position value and the number of shares comprised in the reportable short position and the name and stock code of the specified shares comprised in the reportable short position must be provided in the template form as shown below. The template must be in Comma Separated Value (CSV) format. Some important features of the template to note:

- the first row of the template must be column headers, as shown; and
- there should be no comma or any sign inserted in completing the last two columns (i.e. the “Reportable short position (No. of shares)” column and the “Net short position value” column).

This refers to the Short Position Reporting ID (SPRID) of the person who has the reportable short position.

This is the name of the person who holds the SPRID stated in the first column. It should be the name of the person who has the reportable short position. The name cited must be identical to that provided to the SFC to obtain the SPRID stated in the first column.

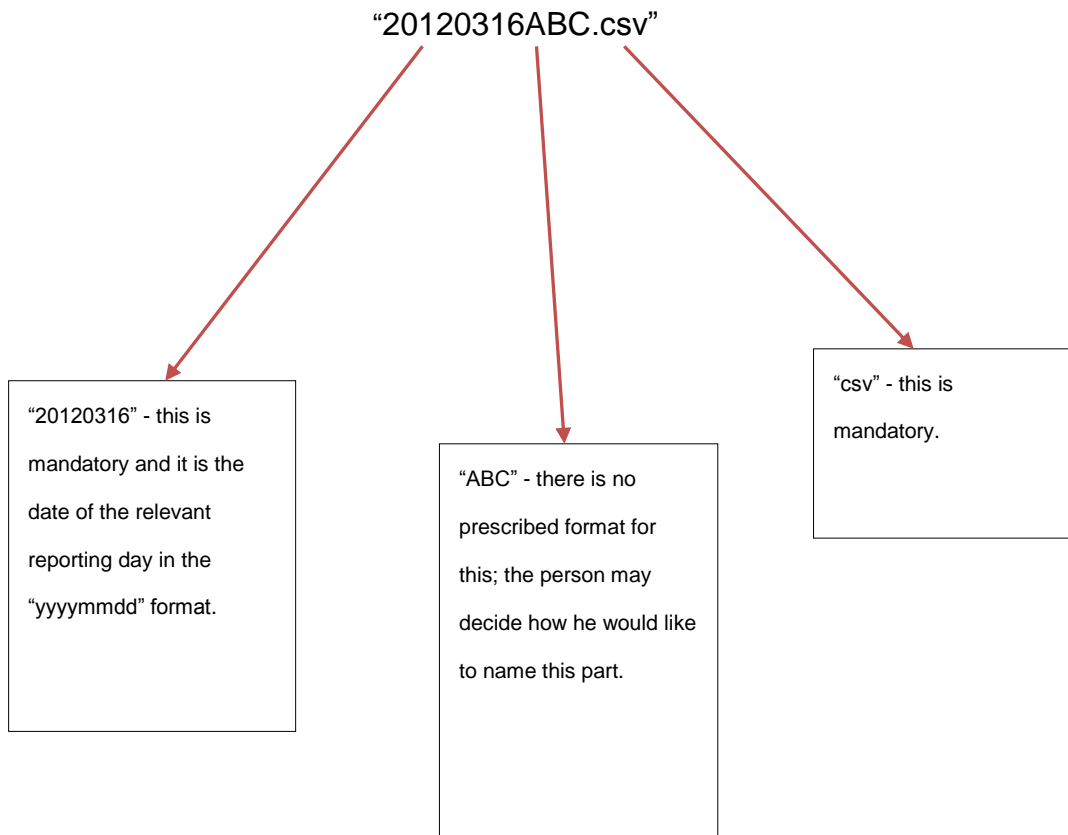
Short Position Reporting ID	Name	Stock code of the specified shares	Stock name of the specified shares	Reportable short position (No. of shares)	Net short position value
G3VA8F69MT	ABC Ltd	5	HSBC HOLDINGS	1000000	65250000
G3VA8F69MT	ABC Ltd	1	CHEUNG KONG	2000004	208200416.4
G3VA8F69MT	ABC Ltd	941	CHINA MOBILE	1000005	75850379.25

No leading zero is required for the stock code. The name and stock code of the specified shares in CSV format is available for downloading on SFC’s website.

It refers to the number of the specified shares comprised in the person’s reportable short position.

It refers to the net short position value of the person’s reportable short position in Hong Kong Dollar. Up to 3 decimal places is allowed.

16. It is important to note that the name of the CSV file that contains the reportable short position particulars, which is to be uploaded onto Box 17 as mentioned in paragraph 14, must start with the date of the “reporting day” in “yyyymmdd” format and end with “csv”. For example, a CSV file in relation to the reportable short position of ABC Ltd as at reporting day 16 March 2012 may be named as:



Reportable Short Position Form

This is the Form required to be submitted to the Securities and Futures Commission pursuant to Rule 4(2) or 4(4) of the Securities and Futures (Short Position Reporting) Rules (L.N. 48 of 2012). This Form must be completed in accordance with the directions and instructions in the accompanying Notes to the Form.

*Mandatory field(s)

Registrant Information

SPRID of person filing the Form*: (Box 1)

Name of person filing the Form*: (Box 2)

(Box 3) Use contact information provided at registration

Primary contact:

Contact Person: (Box 4)

(Box 5)

First / Other name

Email Address: (Box 6)

Contact No.: (Box 7)

Fax No.: (Box 8)

Date of reporting day*: (yyyy/mm/dd) (Box 14)

Submission Remarks: (Box 16)

Reportable short position particulars*: (Box 17)

Security Code*:

Secondary contact:

Contact Person: (Box 9)

(Box 10)

First / Other name

Email Address: (Box 11)

Contact No.: (Box 12)

Fax No.: (Box 13)

Late submission: (Box 15)

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