

## **FORM 3A – DIRECTOR’S/CHIEF EXECUTIVE’S NOTICE**

### **NOTIFICATION OF INTERESTS IN SHARES OF LISTED CORPORATION**

#### **General Notes**

1. This Form 3A is for use by a director or chief executive disclosing an interest in shares 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. [●]) (“the Ordinance”). The notification should be filed with The Stock Exchange of Hong Kong (“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 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 3C if you are notifying interests in debentures 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 “shares” in Form 3A and these Notes.*

3. In Form 3A and these Notes the word “you” refers to the person that is the director or chief executive. The term “shares” describes interests in the shares of a listed corporation.

*“Relevant event” and “Initial Notification”*

4. You must give notification of interests in shares of a listed corporation, and any “short position” (explained in Note 14 below) on the occurrence of certain events - called “relevant events” (see s. [●] 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 shares of the listed corporation.
  - (ii) When you cease to be interested in such shares.
  - (iii) When you enter into a contract to sell any such shares.
  - (iv) When you assign any right granted to you by the listed corporation to subscribe for such shares.
  - (v) When the nature of your interest in such shares changes ( e.g. on exercise of an option).
  - (vi) When you come to have, or cease to have, a short position in the shares of a listed corporation.
  - (vii) The granting by the listed corporation to your spouse, or your child under the age of 18, of a right to subscribe for shares in the listed corporation or the exercise of such a right.
  - (viii) An event in consequence of which your spouse, or your child under the age of 18 comes to have, or ceases to have, a short position in the shares of a listed corporation.
  - (ix) If you have an interest, or a short position, in shares of a listed corporation at the time when it becomes a listed corporation.
  - (x) On commencement of the Ordinance if you have an interest, or if you have a short position, in shares of a listed corporation which has not previously been disclosed.
  - (xi) If you have an interest, or a short position, in shares of a listed corporation when you become a director or chief executive of that corporation.

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

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*Timing of notification*

5. In the case of events (i) to (viii) in Note 4, you must give the notification within 3 business days of the day on which you became aware of the relevant event.
6. For an Initial Notification, you must normally give the notification on this Form 3A within 10 business days after the relevant event. However, if at that date you were not aware that you had an interest, or a short position, then you must give the notification within 10 business days of the day you became aware that you had such an interest.

*Working out the percentage figure of your interest*

7. In Boxes 15 and 16 of Form 3A you are asked to state separately the percentage figure of your interest in shares of the listed corporation. To work this out you express the total number of shares in which you are interested as a percentage of the number of shares of the listed corporation in issue (i.e. the number in Box 4). Round this figure to two decimal places.
8. In calculating the total number of shares in which you are interested you must include all joint interests (see Note to Box 21 below) derivative interests (see Note 10 below) and any interests, and derivative interests, in shares 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 19);
  - (ii) A corporation which you control (i.e. 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 20);
  - (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 shares according to the directions of the beneficial owner) (see notes to Box 22);
  - (iv) A discretionary trust, if you had the trust set up or put assets into it and can influence how the trustee exercises his discretion (see notes to Box 22);
  - (v) A trust of which you are a beneficiary (discretionary interests may be ignored).
9. You must also count as your short position any short positions that such persons and trusts have. This may create a short position (if you do not have a short position already) or increase the size of your short position.
10. In calculating the level of your interest in shares you must add together both direct and indirect interests. You must not net off long positions and short positions but must disclose these separately. Indirect interests include interests in shares underlying “equity derivatives”. Equity derivatives include instruments such as options, warrants, stock futures and are referred to in these notes as “derivatives”. “Underlying shares” are the shares that may be required to be delivered to you, or by you, under the derivatives, and include the shares used to determine the price or value of the derivatives (e.g. In the case of an issue of “European Style Cash Settled Call Warrants 1998-1999 relating to ordinary shares of HK\$10.00 each in XYZ Ltd. issued by ABC Investment Bank” the “underlying shares” are ordinary shares of HK\$10.00 each in XYZ Ltd.).

*“Long positions” and “short positions”*

11. You have a “long position” if you have an interest in shares themselves, or hold derivatives under which :
  - (i) you have a right to take the underlying shares;
  - (ii) you are under an obligation to take the underlying shares;
  - (iii) you have a right to receive money if the price of the underlying shares increases; or
  - (iv) you have a right to avoid or reduce a loss if the price of the underlying shares increases.
12. You have a “short position” if you borrow shares under a stock borrowing and lending agreement, or if you hold derivatives under which :
  - (i) you have a right to require another person to take the underlying shares;
  - (ii) you are under an obligation to deliver the underlying shares;
  - (iii) you have a right to receive money if the price of the underlying shares declines; or
  - (iv) you have a right to avoid a loss if the price of the underlying shares declines.
13. The number of shares in which you are taken to be interested through derivatives is :

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- (i) the number of shares required to be delivered to you, or by you, under the derivatives;
- (ii) the number of shares by reference to which the amount payable under the derivatives is derived or determined; or
- (iii) (in the case of stock futures contracts) the contract multiplier times the number of contracts you hold.

If any party to a derivative can choose whether to settle in cash or by delivery then use (i) to work out the number of shares in which you are interested.

*General*

- 14. When making a disclosure you must satisfy yourself of the requirements of the Ordinance, and if in doubt, please seek appropriate legal advice.
- 15. Please use block letters (preferably type-written) when completing this Form. If there is insufficient space in any box please use Box 23 to complete your disclosures or use separate sheets. Continuation sheets must be securely annexed to this Form, clearly marked as "Continuation Sheet" and signed by you or on your behalf.
- 16. You must file a signed copy of this Form 3A (without these Notes) with the listed corporation at its registered office or principal place of business in Hong Kong and a separate signed copy of this Form (without these Notes) with SEHK using one of the following methods :

By Post -

The SDI Unit  
Regulation Division  
The Stock Exchange of Hong Kong Ltd.  
G.P.O. Box 10023  
Hong Kong

By Hand -

The SDI Unit  
Regulation Division  
The Stock Exchange of Hong Kong Ltd.  
Tower I & II, Exchange Square  
Central, Hong Kong

By Fax - Fax No. 2845 6328

- 17. The G.P.O. Box set out above is a dedicated P.O. Box for use by the SDI Unit 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 [●]. Please restrict use of this service to significant or price sensitive notifications.

### Specific Notes

If you are giving notification that you have ceased to have a notifiable interest then you need only complete boxes 1 to 14 and 24 to 28 of Form 3A. In the case of other events complete all boxes that apply to you. Boxes marked # must be completed only if they apply.

#### *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 (<http://www.hkex.com.hk>) in the section “Exchange Listings and Listed Companies” under the heading “Company/Securities Profile” by entering the name of the listed corporation. Alternatively you can get it from the corporation itself or a newspaper.
- Box 3 A few corporations have two classes of share capital, each with voting rights (e.g. “A” and “B” shares). Please state the class of shares in which you are interested. If you have an interest in two classes of shares then you should complete a separate notice for each class of shares. You need not complete Box 3 if the listed corporation whose shares you hold has only one class of share capital.
- Box 4 Please state the number of shares (in the class of shares in which you are interested) which have been issued at the date of the relevant event. If the number of shares in issue is greater immediately after the relevant event than it was immediately before that event then state the higher figure. You can find the number of shares issued SEHK Web Site or you can ask the listed corporation concerned. Use the number of shares in issue to calculate the percentage figures in Boxes 15 and 16.

#### *Information relating to the director or chief executive*

Boxes 5 to 11. State the details as indicated. 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.

#### *Information relating to the relevant event*

- Box 12 Please state the date of the relevant event (explained in Note 4) which gave rise to the Notice.
- Box 13 In the case of events (i) to (viii) in Note 4, 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 relevant event in Box 13.

For an Initial Notification, if you were not aware that you had an interest, or a short position, at the date of the relevant event then put the date that you became aware that you had such an interest in the shares 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 (viii) in Note 4 the details that you must give in Box 14 relate to the shares bought/sold or involved at that time – not the shares which you already have.

In the case of an Initial Notification the details that you must give relate to the shares 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 1 below which best describes the relevant event. You will see from Note 8 above that if a person connected with you acquires an interest in shares their interest will be treated as your interest. For example, if a company that you control first acquired shares of the listed corporation it would use Code 1 and you should use the same Codes.

Use the row entitled “short position” in Box 14 if you are filing the notice because of a change in a short position.

<b>Table 1 – Event or change</b>	<b>Code</b>
<b>LONG POSITIONS</b>	
<i>Acquiring an interest</i>	
Becoming interested in shares of the listed corporation. This includes all acquisitions whether by purchase or gift, or by rights/bonus issue or taking a security interest in shares	<b>101</b>
<i>Ceasing to have an interest</i>	
Ceasing to have an interest in shares of the listed corporation	<b>102</b>
<i>Entering into a contract to sell shares</i>	
Entering into a contract to sell shares of the listed corporation	<b>103</b>
<i>Changes in nature of an interest</i>	
Exercising a right or an option in respect of shares of the listed corporation	<b>104</b>
Lending of shares of the listed corporation under a securities borrowing and lending agreement	<b>105</b>
Return of shares of the listed corporation lent under a securities borrowing and lending agreement	<b>106</b>
<i>Miscellaneous</i>	
Assigning a right granted by the listed corporation to subscribe for shares of the listed corporation	<b>107</b>
On listing of the corporation if you have an interest in shares of the listed corporation	<b>108</b>
On commencement of the Ordinance if you have an interest in shares of the corporation	<b>109</b>
On becoming a director or chief executive if you have an interest in shares of the corporation	<b>110</b>
Granting by the listed corporation to your spouse, or your child under the age of 18, of a right to subscribe for shares in the listed corporation or the exercise of such a right	<b>111</b>
<b>SHORT POSITIONS</b>	
Coming to have a short position in shares of the listed corporation. This includes a short position through holding derivatives and borrowing shares under a securities borrowing and lending agreement	<b>112</b>
Ceasing to have a short position in shares of the listed corporation	<b>113</b>
On listing of the corporation if you have a short position in shares of the corporation	<b>114</b>
On commencement of the Ordinance if you have a short position in the shares of the listed corporation	<b>115</b>
On becoming a director or chief executive if you have a short position in shares of the corporation	<b>116</b>
An event in consequence of which your spouse, or your child under the age of 18 comes to have a short position in the shares of the listed corporation	<b>117</b>
An event in consequence of which your spouse, or your child under the age of 18 ceases to have a short position in the shares of the listed corporation	<b>118</b>
<i>Miscellaneous</i>	
Other	<b>119</b>

Select from Table 2 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 shares you should choose the Code describing the capacity in which you held the shares immediately before you disposed of them and enter this Code in Box 14 column 2. If you have acquired an interest in shares you should choose the Code describing the capacity in which you held the shares 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 shares, you should complete the Codes describing the capacity in which you held your interest in those shares before and after the relevant event i.e you must complete both columns 2 and 3. If you are the beneficial owner but another Code also applies, please use the latter Code rather than Code 201.

Use the row entitled “short position” if you are filing the notice because of a change in a short position.

<b>Table 2 – Capacity</b>	<b>Code</b>
Beneficial owner	<b>201</b>
Person having a security interest in shares	<b>202</b>
<i>Interests by attribution</i>	
Interest of your child under 18 or spouse	<b>203</b>
Interest of corporation controlled by you	<b>204</b>
<i>Trusts and similar interests</i>	
Nominee for another person (other than a bare trustee)	<b>205</b>

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Trustee (other than a bare trustee)	<b>206</b>
Custodian	<b>207</b>
Person who set up a discretionary trust	<b>208</b>
Beneficiary of a trust (other than a discretionary interest)	<b>209</b>
<i>Miscellaneous</i>	
Other	<b>210</b>

In Box 14 column 4 state the number of shares concerned (e.g. the number of shares you bought that triggered the Notice). For a change in the nature of an interest (e.g. on exercise of an option) state the number of shares affected by the change.

Lastly, state the consideration per share paid or received (for the interest in shares described in column 3) in columns 5/6 or 7/8 of Box 14 under “On Exchange” or “Off Exchange” as appropriate. In column 4 you should state the highest price per share whilst in columns 6 and 7 you should state the average price/consideration per share. 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 the price or consideration should be stated as “NIL”. Codes describing the principal types of consideration for Off-Exchange transactions are set out in Table 3 below. Using Table 3 select the Code which best describes the nature of the consideration you paid or received and enter it in Box 14 column 8. If none of the Codes applies then you should describe the nature of the consideration in Box 23.

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

<b>Table 3 – Nature of consideration</b>	<b>Code</b>	<b>Nature of consideration</b>	<b>Code</b>
Cash	<b>301</b>	Surrender of rights to shares	<b>303</b>
Assets other than cash	<b>302</b>	Services	<b>304</b>

*Examples for completing Box 14*

The first example shows how to complete Box 14 for relevant events (i) to (viii) in Note 4. Assume that you are director who already owns 4,500,000 shares in the listed corporation of which you are a director. On 31<sup>st</sup> December 2000 you purchased (through the Stock Exchange) 400,000 shares for HK\$800,000 and 100,000 shares for HK\$210,000 (all shares to be held beneficially). The relevant date to be inserted in Box 12 would be “31.12.2000” and you should complete Box 14 in the following manner.

**14. Details of relevant event**

	Code describing circumstances (see Table 1)	Code describing capacity in which shares were held (see Table 2)		Number of shares bought/ sold or involved	On Exchange		Off Exchange	
		Before relevant event #	After relevant event #		Highest price per share	Average price per share	Average consideration per share	Code describing nature of consideration (see Table 3)
Long position	101	N/A	201	500,000	\$2.10	\$2.02	N/A	N/A
Short position								

The second example shows how Box 14 should be completed in the case of an Initial Notification. Assume that you are shareholder who, prior to 1<sup>st</sup> September 2000 owns 4,500,000 shares in a listed corporation. On 31<sup>st</sup> December 2000 you are appointed a director of the listed corporation. On 15<sup>th</sup> September 2000 you had purchased (through the Stock Exchange) 400,000 shares for HK\$800,000 and 100,000 shares for HK\$210,000

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(all shares held as trustee). The relevant date to be inserted in Box 12 would be “31.12.2000” and you should complete Box 14 in the following manner.

**14. Details of relevant event**

	Code describing circumstances (see Table 1)	Code describing capacity in which shares were held (see Table 2)		Number of shares bought/ sold or involved	On Exchange		Off Exchange	
		Before relevant event	After relevant event		Highest price per share	Average price per share	Average consideration per share	Code describing nature of consideration (see Table 3)
Long position	110	N/A	206	500,000	\$2.10	\$2.02	N/A	N/A
Short position								

Box 15 In column 1 of Box 15 state the number of shares in the listed corporation concerned in which you were interested, and those in which you had a short position, immediately before the relevant event. In column 2 please state the percentage figure of your interest immediately before the relevant event. Note 7 explains how you calculate the percentage figure.

Box 16 Complete Box 16 in the same manner as Box 15 specifying the number of shares in the listed corporation concerned in which you were interested, and those in which you had a short position immediately after the date of the relevant event.

*Capacity in which interests in Box 16 are held – required for Initial Notification only*

Box 17 If the notification is an Initial Notification you must complete Box 17. Select from Table 2 the Code which best describes the capacity in which you hold the shares listed in Box 16 and enter that Code in Box 17 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 number of the interests in shares held in each capacity (on different rows) in columns 2.

If you also have a short position state the capacity or capacities in which you hold that short position, using the appropriate Code(s), in the rows marked “short position”.

*Derivative interests*

Box 18 If this is an Initial Notification, you must give details in relation to all the shares in which you are interested through derivatives.

If this is not an Initial Notification, you must only give details in relation to the shares involved in the relevant event.

In either case, select from Table 4 the code which best describes those derivatives and enter it in Box 18 column 1.

<b>Table 4 – Category of derivatives</b>	<b>Code</b>	<b>Category of derivatives</b>	<b>Code</b>
<i>Derivatives listed or traded on a Stock Exchange or traded on a Futures Exchange</i>		<i>Unlisted derivatives</i>	
Physically settled options	<b>401</b>	Physically settled options	<b>405</b>
Cash settled options	<b>402</b>	Cash settled options	<b>406</b>
Cash settled futures	<b>403</b>	Other	<b>407</b>
Other	<b>404</b>		

If any party to a derivative can choose whether to settle in cash or by delivery then you should treat that derivative as physically settled.

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If you have an option, please state the first date that the option can be exercised in Box 18 column 2 and the last date on which any option can be exercised in column 3.

State the number of shares in which you derive an interest (or a short position) from the derivatives in column 7. Note 13 explains how to work this out. If you have more than one derivative of the same category, add them together and state the total number (in one row) in column 7. If you have more than one derivative but they are in different categories use 2 or more or more codes (on different rows) and state the number of shares for each category of derivative (on different rows) in column 7.

*Derivatives granted by the listed corporation*

If the derivatives have been granted to you by the listed corporation then you must give details of those equity derivatives on a separate row in Box 18 if the relevant event was :

- (i) the grant of derivatives or rights under the derivatives - when you should state the price paid or received, or the consideration given or received, for the grant of the derivatives or rights under the derivatives in column 4.
- (ii) the exercise of rights under the derivatives - when you should state the price paid or received, or the consideration given or received, on the exercise of rights under the derivatives in column 5.
- (iii) the assignment of the derivatives or of rights under the derivatives - when you should state the price paid or received, or the consideration given or received, on the assignment of the derivatives or rights under the derivatives in column 6.

If no price was paid or received, and no consideration given or received, then you should state "NIL" in the column which applies to you.

If the derivatives were granted to any of the persons mentioned in Note 8 (i) or (ii) by the listed corporation, and the relevant event is the grant, the exercise of rights under or the assignment of those derivatives then you must give the details mentioned in the preceding paragraph.

*Interests of children under 18 and/or spouse*

Box 19 If your spouse (or child under 18) is interested in shares in the same listed corporation then your spouse's interest/your child's interest is taken to be your interest. Details of that interest must also be taken into account in completing Boxes 15 and 16.

If this is an Initial Notification, you must complete Box 19 if your spouse/child has shares in the listed corporation. State the name and address of the spouse (or child under 18), his/her address and the number of shares in which you are interested through your spouse (or child under 18) in Box 19. State the details of each additional family member who holds shares in the listed corporation concerned using Box 23.

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

If your family member has a short position then the same principles apply.

*Interests held by a corporation that you control*

Box 20 If you are (a) entitled to exercise, 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 shares 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 Boxes 15 and 16.

If this is an Initial Notification, you must complete Box 20 if a corporation that you control has shares in the listed corporation. State the name of the corporation, its address and the number of shares in which it is interested in Box 20. If there is more than one corporation then details of each corporation must be stated separately. Use Box 23 if there is not enough room.

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

If the corporation that you control has a short position then the same principles apply.

*Joint interests*

**Box 21** If you are interested in shares of the listed corporation concerned jointly with another person then you are both taken to be interested in all of the shares held jointly. Details of that interest must also be taken into account in completing Boxes 15 and 16.

If this is an Initial Notification, you must complete Box 21 if you are interested in shares of the listed corporation concerned jointly with another person. State the name of the person who owns the interest in the shares jointly with you, his/her address and the number of shares in which he/she is interested in Box 21.

If this is not an Initial Notification, you must only give details if the shares 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 shares jointly with you, his/her address and the number of shares involved in the relevant event in which he/she was interested.

The same principles apply to short positions held jointly.

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

**Box 22** If you are : (a) a trustee of a trust, (b) a beneficiary of a trust, or (c) a person who has had a discretionary trust set up or put assets into a discretionary trust (and can influence how the trustee exercises his discretion), then you are taken to be interested in all of the shares of the listed corporation in which the trust has an interest (or a short position). Details of that interest must also be taken into account in completing Boxes 15 and 16. You should ignore an interest in reversion or remainder, an interest of a bare trustee, and any discretionary interest (of a beneficiary).

If this is an Initial Notification, you must complete Box 22 if you are interested in shares of a listed corporation through a trust. State the name of the Trust which owns the interest in the shares, its address and the number of shares in which the trust is interested (has a short position) in Box 22.

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

*Continuation Box*

**Box 23** If there is not enough space in any Box use Box 23 and state the number of the Box from which it is continued and use the same headings. If there is still not enough space annex continuation sheet(s) to the Form stating the number of the Box from which it is continued and using the same headings and format.

*Signing and dating and completion by agent*

**Box 24** You should sign the Form and state the position you hold within the listed corporation. An agent may complete and sign Form 3A only if the agent has been specifically authorized in writing by you to do so.

**Boxes 25 and 26** If a person signs the Form as agent for the director or chief executive the agent should state his full name and give his Hong Kong Identity Card number/Passport number.

**Box 27** Date Form 3A the same day as it is signed.

**Box 28** Please state the number of continuation sheets and pages of attachments or, if there are none, state "NIL".

