



6HVVLRRQ 7KH 6KDUHKROGHUV *HQHUDO 0HHWLQJ
7KH FRQYHQHU RUVWKHQHKLDOH KFHQHQ G\$D\$S\$WRLYHZ
WK 0HHWLQJ RI WKH' L)RXUWKU%RDKV KHRDRS BQ\ LWHFWR
&RPSDQ\ KDV GHFLGHG WKFDWG MUKH *ZQHQ DEH KHHWGLQJ
/HJDOLW\ DQG FFRSOLHQQHQ RII WKHFRQYHHQLQJ SORH H
WKH 6KDUHKROGHUV *HQHUDO 0HHWLQJWL DLZV FRPSDQD
EXVLQHV VUXOHV RI WKH 6KHQJHes of America ([FKDQJH DQ
'DWH DQG WLPH
7LPH RI RQVLWH\ PHHWL 7XHVGD\
7LPH RI RQOLQH YRWLQJ
2QOLQH YRWLQJ YLD WKH 6KHQ]KHQIWRFN ([FRDQJH 7
WR DQG WR RQ 0D\
2QOLQH YRWLQJ YLD WKH 6KHQ]KHQVWHFFNV([FRDQJH
RQ 0D\
0HHWLQJ PHWKRQ 7KH 6KDUHKROGHUV DFRPHEDQDM
RQ VLWH DQG RQOLQH YRWLQJ 6KDUHKROGHUV RI WKH
\$OO VKDUHKROGHUV RI WKH &RPSDQJLKWCHQG ZMVKH

6HFXULWLHV 'HSRVLWRU\ DQG &OHDULQJ DQFUS RUQ WLRQ
UHJLVWUDWLRQ GDWH DW WKH FORVLDQ RI WKH DPHUHQWL
DWWHQG WKH 6KDUHKROGHUV *HQHUDO ZHHWLQJ DQGD
0HHWLQJ DQG YRWH KDYH SWR[EIGRHWKQDWRWKRSDQHU R
'LUHFWRUV VXSHUYLVRUV DQGH&RPSDQDQDJHPHQ
/DZ\HUV HQJDJHG E\ WKH &RPSDQ\
2WKHU SHUVRQHUHQHWYDQWXODWV DQWVWHJXGDWLRQ
*HQHUDO 0HHWLQJ
9HQXH RI RQ VLWH PHHWLQJ &RQH H[FQRGRP)DF)
%XLOGLQJ ;LQJXDWLQDQ'5RUGLFHQ<DQJMRXU&YWFH
,, 0DWWHUV IRU 'HOLEHUDWLRQ

3URSRVDO 1R	3URSRVDO	5HPDUN
		QBRMH FKHFNHG L FROXPQ FDQ EH Y
	*HQHUDO SURSRVDO \$OO SURSRVDOV H[FHSW FXPXODWLYH YRWLQJ SURSRVDOV	¥
1RQ FXPXODWLYH YRWLQJ SURSRVDO		
	:RUN 5HSRUW RI WKH % WKH &RPSDQ\	RDUG RI 'LUHFWRUV ¥
	:RUN 5HSRUW RI WKH % RI WKH &RPSDQ\	RDUG RI 6XSHUYLV ¥
	)LQDQFLDO)LQDO 5HSRUW RI WKH &RPSDQ\	¥
	3URILW '3URILW EXWKLRQ &RPSDQ\	¥
	)XOO 7H[W DQG 6XPPDU\ RI WKH \$QQXDO 5HSR RI WKH &RPSDQ\	¥
	3URSRVDO IRU WKH 5HQHZDO RI WKH (QJDJHP WKH \$FFRXQWLQJ)LUP	¥
	3URSRVDO RQ WKH &KDQJH RI 5HJLVWHUH &D DQG \$PHQGPAHQWMAHQ	¥

7KH DIRUHVDLG SURSRVDOV KDYH EHHWQ OHHYLWZHQJGR
)RXUWK %RDUG RI 'LUHFWRUV RI WKH WKHS DQXUDQK %RQ
6XSHUYLVRUV)RU GHWDLOV VHHEUWKH &RPSDQQRXQ\$S
RQ ZZZ FQLQIR FRP FQ
3URSRVDO LV D VSHFLDO UHVRSSWLQDQ SURSRVDOV

RI VKDUHKROGHU[R[LH Q F O X W K Y Y R R Q M S D W L W K W V O S H W V Q J
)RU WKH YRWLQJ UHVXOWV RI Q K H L D O U H V S D L G D S U H P O S
YRWHV RI VPDOO DQG PHGLXP VL]H Q J H Q Y H Q W R W R U M P D
VKDUHKROGHUV R W K H S H W K Y L Q R G L U H D E R Q W Q L F P E H O D Q D J I W
FRPSDQ\ DQG VKDUMK X O G H O V R Z K R R Q G H L F W K D Q O \ I R R O W K H
WKH OLVWHG FRPSDQ\ DQG GLVFORVH WKHP VHSDUDWHO
, QGHSHQHGW R S D Q W Z L O O R U H S R W K W K K D W H R R O G H
OHHWLQJ
,,, OHHWLQJ 5HJLVWUDWLRQ DQG 2WKHU ODWWHU
5HJLVWUDWLRQ PHWKR
1DWXUDO SHUW R Q O O D K R O G H U L W , U E W U D Q W R U M L]
SUR[LHV WR DWW H Q S U R [K H V O H K V O F O J K W K G W K H S R Z H U R I D
, ' F D U G V R I D X W K R U L] H U V I R U U H J L V W U D W L R Q
/HJDO UHSUHVHQWDWLYHV RUO G K H M U V S D R [Q H D W R M H F R
, I O H J D O U H S U H W H Q W D W H W L Q J D W W O H Q K R D G G U K D E R X Q W
VKDUHKROGLQJ FHUWLILFDWHV I L F S D O V V R I D E X V L Q H J D O O U
FHUWLILFDWHV H J Q G W U D M L R Q I Q U S U R [H V N Q W D W L J D H V D W
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L Q V W L W X W L R Q D O K V D U K R O F O Q H A H U R M L U D W L R Q
1RQ ORFDO VKDUHKROGHUV FDQ UHJLVWHU E \ O H W V
5HJLVWUDWLRQ WLPH
7KH RQ VLWH UHJLVWUDWLRQ WLPH Q J R I L W K H R P K D U H K R P
RQ OD \ I R U U H J L V W U D W L R Q H P D Q W E \ E G H W H O L Y V I R
&RPSDQ\ EHIRUH RQ OD \
2Q VLWH UHJLVWUDWLRQ VLWH
&RQIHUHQFH 5RRP) 1R <DQJMLH 7 H L Q J Q D Q R T X D) Q F W
+DQMLDQJ ' L W R X L E W W \ < D Q D Q J V X 3 U R Y L Q F H
&RQWDFW LQIRUPDWLRQ
&RQWDFWV)DQ)HQJELQ DQG 4LQ 1DQ

7HO

)D[

(PDLO]ME# \DQJMLH FRP

1RWHV

7KH 0HHWLQJ LV H[SHFWHG WR GDWDWZKRU LQVWUHQQG
0HHWLQJ VKDOOEHFRPWRGLWLRQDQSHQVHVSRUWDWLRQ

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0HHWLQJ DQG KROGGUUVJLQDOKR'OEQQG SRZMULIRFDWWWR
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,9 6SHFLILF 2SHUDWLQJ 3URFHGXUHV IRU 2QOLQH 9RW
\$W WKH 6KDUHKROGHUV *HQHUDODWHHWQQYRWKQJWK
WUDGLQJ VVWHP DQG ,QWHUQHWR YRWLQJFKDQVHPDVR
KWS ZOWS FQLQHFRWRQSSOHQVHILFRUSWGLWLQJ SU
RQOLQH YRWLQJ

9 5HIHUHQFH 'RFXPHQV

5HVROXWLRQ RI WKH)RXLWKWLRQRIWK'U&RPSDQ\

5HVROXWLRQ RI WKH)RXLWKWLRQRIWK'U&RPSDQ\

2WKHU GRFXPHQWKHQRQDGHVREWWKFKDQJH

\$QQH[6SHFLILF 2SHUDWLQJ 3URFHGXUHV IRU 2QOLQH

\$QQH[3RZHU RI \$WWRUQH\

,W LV KHUHE\ DQQRXQFHG

<DQJ]KRX <DQJMLH (OHFWURQLF 7

7KH %RDUG RI 'LUH

\$SULO

\$SSHQGL[

6SHFLILF 2SHUDWLQJ 3URFHGXUHV IRU 2Q
, 3URFHGXUHV IRU 2QOLQH 9RWLQJ

9RWLQJ FRGH DQGLRQWIRQJ RUEGLQJRWLQJDKDFRQVH ZKWH
DQG WKH YRWLQJ DEEUHYLDWLRQ LV <DQJMLH 9RWH

9R W L Q J R S L Q L R Q V

)RU QRQ FXPXODWLYH YRWLQJ SURSHUDIV W\$SRYRWL
 \$EVWDLQ

6KDUHKROGHUV YRQLSQRBRQVNDKHDLHQKHHVDPGHWRBLQDL
SURLSRVDOV HJFDNSWYWKIRWXLQX SURLSRVDOV

,I D VKDUHKROGHOV RQ WDHVHQHSHDDOSHERISLFVSORS SQ GDD V
YDOLG YRWH VKDOO SUHYDLO SIUDSRVDOKERHOBWH W R W H V
WKH YRWLQJ RSLQLRQV RQ WKH VSHFLIDFQ GUMSRVDROWYQV
WKH JHQHUDO SULOSRVUDRWKDDOSRVSFHW HG MKDYRMKRV RQ
JHQHUDO SURSRVDO EHIRUH WKHRVSHRQIWFKSIURHSQVDDO W
SUHYDLO

,, 3URFHGXUHV IRUWIRWIRWZQDGLIQR6XJW/KHPQR6WFKFN6KH
 ([FKDQJH

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WR

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WUDGLQJ V\ VWHP

,,, 3URFHGXUHV IRU 9RWLQJ WKURXJMKWKWK,QQJKHQHW 9F
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7KH WLPH IRU VWDUWLQJ YRWLQJ RQ WKH , QWUH
WKH GD\ RI WKH RQ VLWH PHHWLQJ

)RU RQOLQH YRWLQJ WKURXJK RCKGH,LOWVHUKDQHOW DYRWKL

LGHQWLW\ DQG REWDLQ DQ 6=6('LWVRDO6&UHVLFHILFDWH
DFFRUGDQFH ZLWK Guidelines for Investor Identity Authentication for Online
Services of Shenzhen Stock Exchange (Revised in 2016)7KH VSHFLILF DXWKHQWLFD
DUH DYDLODEOH LQ WKH FROXPQ RIUHQVHYRDOQJJXLG
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\$SSHQGL[

3RZHU RI \$WWRUQH\

, :H KHUHE\ DXWKRUL]H 0U 6XDUHKROGHUV *
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GRFXPHQWV WR EH VLJQHG DW WKH 0HHWLQJ RQ EHKDOI
, :H H[SUHVVP\ RXU YRWLQJ RSLQGDQW WKLWKH SWRQRY

3URSRVDO 1R	3URSRVDO	5HPDUN	\$JUHH	2SS	
		7KRVH EKHNHG LQ WKLV FROXPQ FDQ EH YRWHG RQ			
	*HQHUDO SURSRVDO \$OO SURSRVDOV H[FHSW FXPXODWLYH YRWLQJ SURSRVDOV				
1RQ FXPXODWLYH YRWLQJ SURSRVDO					
	:RUN 5HSRUW RI WKH %RDUGRI 'LUHFWRUV RI WKH &RPSDQ\				

	3URSRVDO IRU WKH 5HQHZDO RI WKH (QJDJHPHQW RI WKH \$FFRXQWLQJ)LUP			
	3URSRVDO RQ WKH &KDQJH RI 5HJLVWHUHG &DSLWDO DQG \$PHQGPHQW WR WKH \$UWLFOHV RI \$VVRFLDWLRQ			

1DPH RI WKH DXWKRUL]HU VHD OBBBBBBBBBBBBBBBBB
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,I WKH DXWKRUL]HU LPDQVWQRFWSSRQ'SRQDQKHWKERD
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