

Annex 1

Complaints received by SFC related to CBBC (12 June 2006 – 20 April 2009)

	2006 (from 12 June)	2007	2008	2009 (up to 20 April)	Total
Number of complaints received	2	3	22	10	37
Breakdown by allegations:					
Market manipulation	2	2	20	8	32
Liquidity provider failed to provide quotes	0	1	0	0	1
Liquidity provider provided unreasonable quotes	0	0	2	2	4
Action taken:					
No prima facie evidence of breach found after SFC review	2	2	19	10	33
Being reviewed by SFC	0	0	3	0	3
Referred to HKEx for further review	0	1	0	0	1

Complaints received by HKEx related to CBBC (12 June 2006 – 20 April 2009)

	2006 (from 12 June)	2007	2008	2009 (up to 20 April)	Total
Number of complaints received	5	1	10	2	18
Breakdown by allegations:					
Liquidity provider failed to provide quotes	0	1	3	1	5
Liquidity provider provided unreasonable quotes	5	0	7	1	13
Action taken:					
No prima facie evidence of breach of Listing Rules/Listing Documents after HKEx review	5	0	7	1	13
Being reviewed by HKEx	0	0	0	0	0
Followed up with issuers/ liquidity providers and the subject matters resolved	0	1	3	1	5