

Annex

Table 1:

For the year of 2013

Shareholder background	The number and percentage of Category C brokers recording a profit	The number and percentage of Category C brokers recording a loss
Overseas	37 (8%)	33 (7%)
Mainland China	21 (4%)	14 (3%)
Hong Kong	165 (35%)	205 (43%)

Table 2:

For the year of 2012

Shareholder background	The number and percentage of Category C brokers recording a profit	The number and percentage of Category C brokers recording a loss
Overseas	18 (4%)	55 (11%)
Mainland China	16 (3%)	17 (4%)
Hong Kong	147 (31%)	225 (47%)

Table 3:

For the year of 2011

Shareholder background	The number and percentage of Category C brokers recording a profit	The number and percentage of Category C brokers recording a loss
Overseas	32 (7%)	39 (8%)
Mainland China	12 (3%)	16 (3%)
Hong Kong	157 (34%)	208 (45%)

Table 4:

Items involved in other income	\$' million
Net commission income from futures and options dealing	814
Income arising from underwriting	699
Income arising from advising on securities and/or futures contracts	928
Income arising from advising on corporate finance	226
Income arising from management fees charged on group companies or other related parties	1,613
Others (<i>Note</i>)	2,027
Total	6,307

Note: The information submitted by the brokers to the SFC did not provide detailed breakdown.