

MISONIX INC
Form 10-Q
February 09, 2011

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FORM 10-Q
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

(Mark One)

☒ **QUARTERLY REPORT PURSUANT TO SECTION 13 OR 15 (d) OF THE SECURITIES EXCHANGE ACT OF 1934**

For the quarterly period ended December 31, 2010

OR

☐ **TRANSITION REPORT PURSUANT TO SECTION 13 OR 15 (d) OF THE SECURITIES EXCHANGE ACT OF 1934**

For the transition period from _____ to _____

Commission file number: 1-10986

MISONIX, INC.

(Exact name of registrant as specified in its charter)

New York

11-2148932

(State or other jurisdiction of
incorporation or organization)

(I.R.S. Employer
Identification No.)

1938 New Highway, Farmingdale, NY

11735

(Address of principal executive offices)

(Zip Code)

(631) 694-9555

(Registrant's telephone number, including area code)

Indicate by check mark whether the registrant (1) has filed all reports required to be filed by Section 13 or 15(d) of the Securities Exchange Act of 1934 during the preceding 12 months (or for such shorter period that the registrant was required to file such reports), and (2) has been subject to such filing requirements for the past 90 days. Yes ☒ No ☐

Indicate by check mark whether the registrant has submitted electronically and posted on its corporate Web site, if any, every Interactive Data File required to be submitted and posted pursuant to Rule 405 of Regulation S-T (§232.405 of this chapter) during the preceding 12 months (or for such shorter period that the registrant was required to submit and post such files). Yes ☐ No ☐

Indicate by check mark whether the registrant is a large accelerated filer, an accelerated filer, a non-accelerated filer, or a smaller reporting company. See the definitions of "large accelerated filer," "accelerated filer" and "smaller reporting company" in Rule 12b-2 of the Exchange Act. (Check one):

Large accelerated filer ☐

Accelerated filer ☐

Non-accelerated filer ☐

Smaller reporting
company ☒

(Do not check if a smaller
reporting company)

Indicate by check mark whether the registrant is a shell company (as defined in Rule 12b-2 of the Exchange Act). Yes ☐ No ☒

Indicate the number of shares outstanding of each of the issuer's classes of common stock, as of the latest practicable date:

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Class of Common Stock	Outstanding at February 9, 2011
Common Stock, \$.01 par value	7,001,369

MISONIX, INC.
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Consolidated Balance Sheets**

	December 31, 2010 (Unaudited)	June 30, 2010 (Derived from Audited Financial Statements)
Current Assets:		
Cash	\$ 8,237,125	\$ 9,900,605
Accounts receivable, less allowance for doubtful accounts of \$116,178 and \$123,346, respectively	2,290,466	2,335,653
Inventories, net	3,745,148	2,699,717
Prepaid expenses and other current assets	253,032	515,427
Notes receivable	210,000	1,075,105
Total current assets	14,735,771	16,526,507
Property, plant and equipment, net	769,147	500,215
Goodwill	1,701,094	1,701,094
Other assets	2,244,076	1,730,339
Total assets	\$ 19,450,088	\$ 20,458,155
Liabilities and stockholders' equity		
Current liabilities:		
Notes payable	\$ 10,701	\$ 177,679
Accounts payable	1,570,001	888,654
Other accrued expenses and other current liabilities	950,525	1,000,523
Total current liabilities	2,531,227	2,066,856
Capital lease obligations	6,605	14,274
Deferred lease liability	5,617	
Deferred income	203,367	250,739
Total liabilities	2,746,816	2,331,869
Commitments and contingencies		
Stockholder's equity:		
Common stock, \$.01 par value-shares authorized 20,000,000; 7,079,169 issued, and 7,001,369 outstanding	70,792	70,792
Additional paid-in capital	25,633,715	25,502,717
Accumulated deficit	(8,588,811)	(7,034,799)

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Treasury stock, 77,800 shares	(412,424)	(412,424)
Stockholders' equity	16,703,272	18,126,286
Total liabilities and stockholders' equity	\$ 19,450,088	\$ 20,458,155

See Accompanying Notes to Consolidated Financial Statements.

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MISONIX INC. and Subsidiaries
Consolidated Statements of Operations
(Unaudited)

	For the six months ended December 31,	
	2010	2009
Net sales	\$ 6,681,677	\$ 5,779,191
Cost of goods sold	3,157,810	3,264,275
Gross profit	3,523,867	2,514,916
Operating expenses:		
Selling expenses	2,019,700	1,978,486
General and administrative expense	2,327,287	2,803,164
Research and development expenses	888,779	946,040
Total operating expenses	5,235,766	5,727,690
Loss from operations	(1,711,899)	(3,212,774)
Other income (expenses):		
Interest income	75	28,077
Interest expense	(5,079)	(45,659)
Royalty income and license fees	351,702	308,883
Royalty expense	(40,259)	(65,056)
Other	39,833	(8,711)
Total other income	346,272	217,534
Loss from continuing operations before income taxes	(1,365,627)	(2,995,240)
Income tax (benefit)	42,100	(1,182,677)
Net loss from continuing operations	(1,407,727)	(1,812,563)
Discontinued operations:		
Net (loss) income from discontinued operations net of tax of \$0 and \$470,397, respectively	(146,285)	765,217
Net loss from sale of discontinued operations net of tax of \$0 and \$957,937, respectively		(112,819)
Noncontrolling interest in discontinued operations, net of income tax		41,340
Total net (loss) income from discontinued operations	(146,285)	693,738
Net loss attributable to Misonix, Inc. shareholders	\$ (1,554,012)	\$ (1,118,825)

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Net loss per share from continuing operations attributable to Misonix, Inc. shareholders Basic	\$	(0.20)	\$	(0.26)
Net (loss) income per share from discontinued operations Basic		(0.02)		0.10
Net loss per share attributable to Misonix, Inc. shareholders Basic	\$	(0.22)	\$	(0.16)
Net loss per share from continuing operations attributable to Misonix, Inc. shareholders Diluted	\$	(0.20)	\$	(0.26)
Net (loss) income per share from discontinued operations Diluted		(0.02)		0.10
Net loss per share attributable to Misonix, Inc. shareholders Diluted	\$	(0.22)	\$	(0.16)
Weighted Average Shares Basic		7,001,369		7,001,369
Weighted Average Shares diluted		7,001,369		7,001,369
<i>See Accompanying Notes to Consolidated Financial Statements.</i>				

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MISONIX INC. and Subsidiaries
Consolidated Statements of Operations
(Unaudited)

	For the three months ended December 31,	
	2010	2009
Net sales	\$ 3,423,689	\$ 3,148,174
Cost of goods sold	1,537,107	1,642,382
Gross profit	1,886,582	1,505,792
Operating expenses:		
Selling expenses	1,054,693	1,058,879
General and administrative expenses	1,109,482	1,490,484
Research and development expenses	428,285	523,571
Total operating expenses	2,592,460	3,072,934
Loss from operations	(705,878)	(1,567,142)
Other income (expense):		
Interest income	25	14,052
Interest expense	(1,438)	(17,571)
Royalty income and license fees	172,587	152,260
Royalty expense	(20,916)	(65,056)
Other	(5,576)	(18,875)
Total other income	144,682	64,810
Loss from continuing operations before income taxes	(561,196)	(1,502,332)
Income tax (benefit)	4,000	(936,913)
Net loss from continuing operations	(565,196)	(565,419)
Discontinued operations:		
Net income from discontinued operations net of tax of \$0 and \$0, respectively	29,030	237,724
Net income from sale of discontinued operations net of tax of \$0 and \$0, respectively		82,897
Noncontrolling interest in discontinued operations, net of income tax		21,085
Total net income from discontinued operations	29,030	341,706
Net loss attributable to Misonix, Inc. shareholders	\$ (536,166)	\$ (223,713)

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Net loss per share from continuing operations attributable to Misonix, Inc. shareholders Basic	\$	(0.08)	\$	(0.08)
Net income per share from discontinued operations Basic		0.00		0.05
Net loss per share attributable to Misonix, Inc. shareholders Basic	\$	(0.08)	\$	(0.03)
Net loss per share from continuing operations attributable to Misonix, Inc. shareholders Diluted	\$	(0.08)	\$	(0.08)
Net income per share from discontinued operations Diluted		0.00		0.05
Net loss per share attributable to Misonix, Inc. shareholders Diluted	\$	(0.08)	\$	(0.03)
Weighted Average Shares Basic		7,001,369		7,001,369
Weighted Average Shares diluted		7,001,369		7,001,369
<i>See Accompanying Notes to Consolidated Financial Statements</i>				

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MISONIX, INC and Subsidiaries
Consolidated Statements of Stockholders Equity
(Unaudited)
Six months ended December 31, 2010

	Common Stock \$.01 Par value		Treasury Stock		Additional	Accumulated	Total
	Number		Number		paid-in	deficit	stockholder s
	of shares	Amount	of shares	Amount	capital		equity
Balance, June 30, 2010	7,079,169	\$ 70,792	(77,800)	\$ (412,424)	\$ 25,502,717	\$ (7,034,799)	\$ 18,126,286
Net loss\							
Comprehensive loss						(1,554,012)	(1,554,012)
Stock-based compensation					130,998		130,998
Balance, December 31, 2010	7,079,169	\$ 70,792	(77,800)	\$ (412,424)	\$ 25,633,715	\$ (8,588,811)	\$ 16,703,272

See Accompanying Notes to Consolidated Financial Statements.

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MISONIX, INC and Subsidiaries
Consolidated Statements of Cash Flows
(Unaudited)

	For the six months ended December 31,	
	2010	2009
Operating activities		
Net loss from continuing operations	\$ (1,407,727)	\$ (1,812,563)
Adjustments to reconcile net loss to net cash used in continuing operating activities:		
Depreciation and amortization and other non-cash items	172,374	204,775
Bad debt expense	(24,022)	31,525
Deferred income tax benefit	(2,086)	(788,734)
Loss on disposal of property, plant and equipment	(21,301)	1,017
Stock-based compensation	130,998	140,386
Deferred income	(25,728)	(12,156)
Deferred lease liability	5,617	(19,302)
Changes in operating assets and liabilities:		
Accounts receivable	55,826	1,072,863
Inventories	(785,993)	502,044
Income taxes	(15,359)	(103,608)
Prepaid expenses and other current assets	13,253	(253,747)
Accounts payable and accrued expenses	113,711	210,693
Other	215,533	(835,010)
Net cash used in operating activities	(1,574,904)	(1,661,817)
Investing activities		
Acquisition of property, plant and equipment	(87,058)	(833,763)
Acquisition of assets from Aesculap	(800,000)	
Net cash used in investing activities	(887,058)	(833,763)
Financing activities		
Proceeds from short-term borrowings		9,229,418
Payments of short-term borrowings	(166,978)	(12,112,658)
Principal payments on capital lease obligations	(7,178)	(6,679)
Net cash used in financing activities	(174,156)	(2,889,919)
Cash flows from discontinued operations		
Net cash provided by operating activities	(146,285)	533,570
Net cash provided by investing activities	1,115,000	11,200,000
Net cash provided by discontinued operations	968,715	11,733,570

Effect of exchange rate changes on cash	3,923	(6,456)
Net (decrease) increase in cash	(1,663,480)	6,341,615
Cash at beginning of period	9,900,605	3,415,813
Cash at end of period	\$ 8,237,125	\$ 9,757,428

Supplemental disclosure of cash flow information:

Cash paid for:

Interest	\$ 5,079	\$ 186,797
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Income taxes	\$ 42,100	\$ 63,763
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See Accompanying Notes to Consolidated Financial Statements.

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MISONIX, INC. and Subsidiaries
Notes to Consolidated Financial Statements
(Unaudited)

Basis of Presentation

The accompanying unaudited financial information should be read in conjunction with the audited consolidated financial statements and the notes thereto included in our Annual Report on Form 10-K for the year ended June 30, 2010 (2010 Annual Report). A summary of the Company's significant accounting policies is identified in Note 1 of the notes to the consolidated financial statements included in the Company's 2010 Annual Report. There have been no changes in the Company's significant accounting policies subsequent to June 30, 2010.

The accompanying unaudited consolidated financial statements have been prepared in accordance with generally accepted accounting principles for interim financial information and with the instructions to Form 10-Q and Article 10 of Regulation S-X pursuant to the requirements of the U.S. Securities and Exchange Commission. Accordingly, they do not include all of the information and footnotes required by generally accepted accounting principles for complete financial statements. In the opinion of management, all adjustments (consisting of normal recurring adjustments) considered necessary for a fair presentation have been included. The results of operations for the interim periods are not necessarily indicative of the results of operations for the entire year.

The consolidated financial statements of MISONIX, INC. (Misonix or the Company) include the accounts of Misonix and its 100% owned subsidiaries, Hearing Innovations, Inc. (Hearing Innovations) and Fibra-Sonics (NY) Inc. (F-S). All significant intercompany balances and transactions have been eliminated.

Organization and Business

Misonix was incorporated under the laws of the State of New York on July 31, 1967 and its principal revenue producing activities, from 1967 to date, have been the manufacture and distribution of scientific and industrial ductless fume enclosure equipment. In 1992, the Company started research and development efforts towards formulating the ultrasonic medical device business. Misonix's products are sold worldwide. In October 1996, the Company entered into licensing agreements to further develop one of its medical devices.

For the three and six months ended December 31, 2010 and 2009, approximately 27%, 27%, 16% and 17%, respectively, of the Company's net sales were to foreign markets. Sales by the Company in major industrial countries are made primarily through distributors.

Hearing Innovations is located in Farmingdale, New York and is a development company with patented HiSonic ultrasonic technology for the treatment of profound deafness and tinnitus.

On October 7, 2010, the Company, F-S and Aesculap, Inc. (Aesculap) entered into a Termination, Amendment and Buy-Back Agreement to Distributor Agreement (the Termination Agreement). Pursuant to the Termination Agreement, the parties agreed to terminate, as of October 15, 2010 (the Termination Date), (i) Misonix's remaining obligations under the Distributor Agreement dated November 1999 between Aesculap and F-S, as amended (the Distributor Agreement), and (ii) Aesculap's rights to sell procedure packs (the Sale Rights) to the Sonastar Customers (as defined below). On the Termination Date, in consideration of the purchase and sale of (i) Aesculap's current service contracts (Sonastar Contracts) for the products (the Products) that are the subject of the Distributor Agreement, customer list and customers currently evaluating the Products all with respect to the sale and servicing of the Products (the Customer List) and (ii) the Sale Rights, on October 15, 2010, Misonix paid Aesculap \$800,000. Misonix will assume all rights, responsibilities and obligations pursuant to and under the (i) Sonastar Contracts and Customer List and (ii) the Sale Rights, including, without limitation, the sale of accessory Products and servicing and training of the Products to the customers with Sonastar Contracts (the Sonastar Customers). Misonix also agreed to repurchase from Aesculap the current inventory of (i) new Products held by Aesculap at the price Aesculap paid for such Products and (ii) used Products held by Aesculap for demonstration and/or loaner purposes at the prices equal to Aesculap's book-value as of July 31, 2010 for such Products. The purchase price for the current inventory acquired was \$519,000 and is payable in four quarterly installments beginning on December 31, 2010. Aesculap also agreed to certain non-competition and non-solicitation restrictions for an eighteen (18) month period.

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MISONIX, INC. and Subsidiaries
Notes to Consolidated Financial Statements
(Unaudited)

The Company has determined that the acquisition did not constitute a business combination in accordance with Financial Accounting Standards Board (FASB) Accounting Standards codification 805, Business Combinations. Accordingly, it has been recorded as an asset acquisition with the aggregate cost of \$1,319,000 assigned to the assets acquired based upon their relative fair values. The Company has allocated \$259,000 of the cost to inventory \$260,000 of the cost to equipment which will be amortized over a three year period on a straight-line basis and \$800,000 to customer relationships which will be amortized on a straight-line basis over a five year period.

Discontinued Operations

On August 4, 2009, the Company sold its Labcaire Systems, Ltd. (Labcaire) subsidiary to PuriCore International Limited (PuriCore Limited) for a total purchase price of up to \$5.6 million. The Company received \$3.6 million at closing and a promissory note in the principal amount of \$1 million, payable in equal installments of \$250,000 on the next four anniversaries of the closing. As of December 31, 2010, the Company received the first installment. The note receivable was discounted over the four years using a 4% imputed interest rate. This rate is consistent with published discounts. The discounted value of the note (\$900,000) was used to determine gain or loss on the sale and the remaining outstanding balance is included in other assets in the consolidated balance sheet, with the current portion refiled as a component of notes receivable. The Company will also receive a commission paid on sales for the period commencing on the date of closing and ending on December 31, 2013 of 8% of the pass through Automated Endoscope Reprocessing (AER) and Drying Cabinet products, and 5% of license fees from any chemical licenses marketed by Labcaire directly associated with sale of AERs, specifically for the disinfection of the endoscope. The aggregate commission payable to the Company is subject to a maximum payment of \$1,000,000. The aggregate commission will not be recognized in determining the current gain or loss on the sale of Labcaire until the commission is paid. As of December 31, 2010, there were no commissions paid. For the three and six months ended December 31, 2009, the Company recorded a pre-tax gain on the sale of Labcaire of \$0 and \$762,221. Results of Labcaire operations have been reported as a discontinued operation for all periods presented.

On July 19, 2010, the Company received a Dispute Notice from PuriCore Plc (PuriCore) with respect to the sale and purchase of shares of Labcaire which was completed on August 4, 2009. PuriCore alleged that Misonix breached certain representations and warranties that could result in a reduction to the purchase price of approximately £1.6 million or approximately \$2.5 million. PuriCore amended its claim to £2.3 million or approximately \$3.5 million. The Company and PuriCore engaged in the mediation procedure provided for by the Stock Purchase Agreement, dated August 4, 2009 (the Agreement), pursuant to which Labcaire was sold. The Company and PuriCore were not able to reach a satisfactory agreement by the conclusion of the mediation. On January 14, 2011, PuriCore Limited, a subsidiary of PuriCore, filed suit in the High Court of Justice, Queens Bench Division, Commercial Court, Royal Courts of Justice, London, England (Claim No. 2011-42) (the Lawsuit). In the Lawsuit, PuriCore Limited claims damages from Misonix in respect of breach of warranties contained in the Agreement. PuriCore Limited alleges that the warranties made by Misonix in the Agreement were breached by virtue of various misstatements made in the course of the disclosure process prior to the completion of the Agreement . PuriCore Limited claims damages of 2,167,000 or approximately \$3,600,000, plus interest and its legal costs. The Company believes the Lawsuit is without merit and intends to vigorously defend its position. The Company's counsel believes that the Company has strong defenses to the allegations made in the Lawsuit. There can be no assurance, however, that the Company may not have to pay some amount to resolve PuriCore Limited's claims. The Company and PuriCore have agreed upon an amount for commissions applicable to the first year's sales of £190,000 or approximately \$285,000. This amount was due to be paid to Misonix on October 30, 2010. To date, the Company has not received such amount. Due to the uncertainty surrounding collectability of the commission as a result of the Dispute Notice, the Company has not recognized this amount in the consolidated financial statements.

On October 2, 2009, Acoustic Marketing Research, Inc. d/b/a Sonora Medical Systems (Sonora) sold substantially all of its assets to Medical Imaging Holdings, Inc. (Medical Imaging) for a cash payment of \$8,000,000 (subject to a future adjustment based on net working capital, at the closing). On April 6, 2010, the Company paid \$257,029 to

Medical Imaging for the net difference of adjustments of working capital and the effect of income taxes. These amounts were reflected in discontinued operations in the June 30, 2010 audited financial statements. The Company also purchased at the closing of such transaction, utilizing \$1,200,000 of the proceeds, the remaining outstanding 5% of Sonora's shares. Sonora is engaged in the business of (i) selling, repairing and servicing new and used diagnostic ultrasound systems and consumable accessories used in conjunction therewith, (ii) selling, repairing, servicing and testing diagnostic ultrasound transducers, (iii) developing and selling equipment for testing ultrasound transducers, (iv) selling equipment used for cleaning and disinfecting ultrasound transducers including, but not limited to, transesophageal echocardiography probes, (v) selling equipment used for testing endoscopic probes, (vi) repairing and servicing MRI systems and parts and subsystems used therein, and (vii) performing training for the service and maintenance of diagnostic ultrasound and MRI systems, in each instance throughout the world. The net assets and results of Sonora operations have been reported as a discontinued operation for all periods presented.

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MISONIX, INC. and Subsidiaries
Notes to Consolidated Financial Statements
(Unaudited)

On May 28, 2010, Misonix announced the sale to USHIFU, LLC (USHIFU) of all of its rights to the High Intensity Focused Ultrasound (HIFU) technology together with other HIFU-related assets. In consideration for the sale, Misonix will receive up to approximately \$5.8 million, paid out of an earn-out of 7% of gross revenues received by USHIFU related to the businesses being sold, up to the time we have received the first \$3 million, and thereafter 5% of gross revenues up to the \$5.8 million. Commencing 90 days after each December 31st and, beginning December 31, 2011, the payments will be the greater of (a) \$250,000 or (b) 7% of gross revenues received up to the time we have received the first \$3.0 million, and thereafter 5% of gross revenues up to the \$5.8 million. Misonix will also be paid for 3 units in inventory of new Sonablate® 500 machines which totaled \$465,000. The obligation to pay for such machines was secured by a note due December 31, 2010. At December 31, 2010, the note was fully paid, and cash received is shown in the discontinued operations section of the Company's cash flow statements. At the closing of such transaction, USHIFU paid Misonix for inventory associated with manufacturing the Sonablate 500 and reimbursed Misonix for certain monies expended in connection with the HIFU Registry. The net assets and results of HIFU operations have been reported as a discontinued operation for all periods presented. Misonix retained all of its rights associated with the HIFU-related intellectual property and development assets purchased from ProRhythm, Inc. This intellectual property involves the development of new transducers and lenses to be used in the treatment of tissue using HIFU. This technology may be applied on a worldwide basis to a variety of organs not limited to kidney, liver, or breast tissue treatment.

Unless otherwise specified, disclosures in all other notes relate solely to Company's continuing operations.

The following represents the results of Sonora, Labcaire, UKHIFU Limited (UKHIFU) and Misonix HIFU Technologies Limited:

	For the three months ended December 31,		For the six months ended December 31,	
	2010	2009	2010	2009
Revenues	\$	\$ 102,471	\$	\$ 4,141,299
Income/(loss) from discontinued operations, before tax	\$ 29,030	\$ 258,809	\$ (146,285)	\$ 1,276,954
Gain on sale of Labcaire				762,221
Gain on sale of Sonora		82,897		82,897
Income tax expense				(1,428,334)
(Loss) income from discontinued operations, net of tax	\$ 29,030	\$ 341,706	\$ (146,285)	\$ 693,738

Reclassification

Certain prior period amounts in the accompanying financial statements and related notes have been reclassified to conform to the current period's presentation.

2. Net Income (Loss) Per Share of Common Stock

Basic net income (loss) per common share (basic EPS) is computed by dividing net income (loss) by the weighted average number of common shares outstanding for the period. Diluted net income per common share (diluted EPS) is computed by dividing net income (loss) by the weighted average number of common shares and dilutive common share equivalents outstanding (principally outstanding common stock options) for the period.

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MISONIX, INC. and Subsidiaries
Notes to Consolidated Financial Statements
(Unaudited)

The number of weighted average common shares used in the calculation of basic EPS and diluted EPS were as follows:

	For the six months ended December 31,		For the three months ended December 31,	
	2010	2009	2010	2009
Basic shares	7,001,369	7,001,369	7,001,369	7,001,369
Dilutive effect of stock options				
Diluted shares	7,001,369	7,001,369	7,001,369	7,001,369

Diluted EPS for the six and three months ended December 31, 2010 and December 31, 2009 presented is the same as basic EPS, as the inclusion of the effect of common share equivalents then outstanding would be anti-dilutive. For this reason, excluded from the calculation of diluted EPS all are outstanding options to purchase 1,735,550 and 1,936,708 shares for the six and three months ended December 31, 2010 and December 31, 2009, respectively.

3. Comprehensive Loss

Total comprehensive loss was \$(1,554,012) and \$(536,166) for six and three months ended December 31, 2010 and \$(1,118,825) and \$(223,713) for the six and three months ended December 31, 2009, respectively. There are no components of comprehensive loss other than net loss for all periods presented.

4. Stock-Based Compensation

Stock options are granted with exercise prices not less than the fair market value of our common stock at the time of the grant, with an exercise term (as determined by the committee administering the applicable option plan (the Committee)) not to exceed 10 years. The Committee determines the vesting period for the Company's stock options.

Generally, such stock options have vesting periods of three to four years. Certain option awards provide for accelerated vesting upon meeting specific retirement, death or disability criteria, and upon a change in control. During the three month periods ending December 31, 2010 and 2009, the Company did not grant options to purchase shares of the Company's common stock. During the six month periods ended December 31, 2010 and 2009, the Company granted options to purchase 219,500 and 148,300 shares of the Company's common stock, respectively.

Stock-based compensation expense for the six month periods ended December 31, 2010 and 2009 was \$131,000 and \$140,000, respectively. Stock-based compensation for the three month periods ended December 31, 2010 and 2009 was \$71,000 and \$108,000, respectively. Compensation expense is recognized in the general and administrative expenses line item of the Company's statements of operations on a straight-line basis over the vesting periods. As of December 31, 2010, there was approximately \$639,000 of total unrecognized compensation cost related to non-vested stock-based compensation arrangements to be recognized over a weighted-average period of 2.9 years.

There was no cash received from the exercise of stock options for the six and three month periods ended December 31, 2010 and 2009. Cash flows from tax benefits attributable to tax deductions in excess of the compensation cost recognized for those options (excess tax benefits) are classified as financing cash flows.

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MISONIX, INC. and Subsidiaries
Notes to Consolidated Financial Statements
(Unaudited)

The fair values of the options granted during the periods ended December 31, 2010 and 2009 were estimated on the date of the grant using the Black-Scholes option-pricing model on the basis of the following weighted average assumptions during the respective periods:

	For the six months ended December 31,	
	2010	2009
Risk-free interest rate	3.9%	3.1%
Expected option life in years	6.5	6.5
Expected stock price volatility	78.3%	81.9%
Expected dividend yield	0%	0%
Weighted-average fair value of options granted	\$ 1.49	\$ 2.02

The expected life was based on historical exercises and terminations. The expected volatility for the expected life of the options is determined using historical volatilities based on historical stock prices. The risk free rate is based upon the U.S. Treasury yield in effect at the time of the grant. The expected dividend yield is 0% as the Company has historically not declared dividends and does not expect to declare any in the future.

Changes in outstanding stock options during the six months ended December 31, 2010 were as follows:

		Options		
	Number of Shares	Weighted Average Exercise Price	Weighted Average Remaining Contractual Life (years)	Aggregate Intrinsic Value (a)
Outstanding as of June 30, 2010	1,848,510	\$ 4.99	5.1	
Granted	219,500	1.82		
Forfeited	(2,010)	1.67		
Expired	(330,450)	7.34		
Outstanding as of December 31, 2010	1,735,550	4.15	7.0	\$ 191,341
Exercisable and vested at December 31, 2010	1,256,163	\$ 4.93	5.4	\$ 44,088
Available for grant at December 31, 2010	741,894			

- (a) Intrinsic value for purposes of this table represents the amount by which the fair value of the underlying stock, based on the respective market prices at December 31, 2010 or if exercised, the exercise dates, exceeds the exercise prices of the respective options.

5. Focus Surgery, Inc.

On March 3, 2008, the Company, USHIFU, FS Acquisition Company and certain other stockholders of Focus Surgery, Inc. (Focus) entered into a Stock Purchase Agreement (the Focus Agreement). The closing of the transactions contemplated by the Focus Agreement took place on July 1, 2008. Pursuant to the Focus Agreement, the Company sold to USHIFU the 2,500 shares of Series M Preferred Stock of Focus owned by the Company for a cash payment of \$837,500. The Company also received \$679,366, fifty percent (50%) of the outstanding principal and accrued interest of loans previously made by the Company to Focus, with the remaining fifty percent (50%) of such amount of

\$679,366 paid on January 4, 2010. Payment was recognized as a gain in the third quarter of the fiscal year ended June 30, 2010.

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MISONIX, INC. and Subsidiaries
Notes to Consolidated Financial Statements
(Unaudited)

6. Income Taxes

There are no federal, state or foreign audits in process as of December 31, 2010. The Company files state tax returns in New York. Its tax returns in New York have never been examined.

As of December 31, 2010 and June 30, 2010, the valuation allowance was determined by estimating the recoverability of the deferred tax assets. In assessing the reliability of deferred tax assets, management considers whether it is more likely than not that some portion or all of the deferred tax assets will not be realized. In making this assessment, the ultimate realization of deferred tax assets is dependent upon the generation of future taxable income and tax planning strategies in making this assessment. Based on the level of historical income and projections for future taxable income over the periods in which the deferred tax assets are deductible, management believes it will not realize the benefits of these deductible differences, and has a full valuation allowance on deferred tax assets.

7. Inventories

	December 31, 2010	June 30, 2010
Raw Material	\$ 2,616,505	\$ 1,997,730
Work-in-process	1,233,682	947,924
Finished goods	481,203	304,168
	4,331,390	3,249,822
Less Valuation Reserve	586,242	550,105
	\$ 3,745,148	\$ 2,699,717

8. Accrued Expenses and Other Current Liabilities

	December 31, 2010	June 30, 2010
Accrued payroll and vacation	\$ 414,205	\$ 455,052
Accrued VAT and sales tax		21,693
Accrued commissions and bonuses	140,000	245,852
Accrued professional and legal fees	39,180	24,176
Royalty expense	135,438	103,162
Foreign income tax payable		18,676
Deferred income	45,645	24,000
Current maturities of capital lease obligations	15,066	14,533
Other	160,991	93,379
	\$ 950,525	\$ 1,000,523

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MISONIX, INC. and Subsidiaries
Notes to Consolidated Financial Statements
(Unaudited)

9. Commitments and Contingencies

On July 19, 2010, the Company received a Dispute Notice from PuriCore with respect to the sale and purchase of shares of Labcaire which was completed on August 4, 2009. PuriCore alleged that Misonix breached certain representations and warranties that could result in reduction to the purchase price of approximately £1.6 million or approximately \$2.5 million. PuriCore amended its claim to £2.3 million or approximately \$3.5 million. The Company and PuriCore engaged in the mediation procedure provided for by the Agreement pursuant to which Labcaire was sold. The Company and PuriCore were not able to reach a satisfactory agreement by the conclusion of the mediation. On January 14, 2011, PuriCore Limited filed the Lawsuit. In the Lawsuit, PuriCore Limited claims damages from Misonix in respect of breach of warranties contained in the Agreement. PuriCore Limited alleges that the warranties made by Misonix in the Agreement were breached by virtue of various misstatements made in the course of the disclosure process prior to the completion of the Agreement. The PuriCore Limited claims damages of 2,167,000 or approximately \$3,600,000, plus interest and its legal costs. The Company believes the Lawsuit is without merit and intends to vigorously defend its position. The Company's counsel believes that the Company has strong defenses to the allegations made in the Lawsuit. There can be no assurance, however, that the Company may not have to pay some amount to resolve PuriCore Limited's claims. The Company and PuriCore have agreed upon an amount for commissions applicable to the first year's sales of £190,000 or approximately \$285,000. This amount was due to be paid to Misonix on October 30, 2010. To date, the Company has not received such amount. Due to the uncertainty surrounding collectability of the commission as a result of the Dispute Notice, the Company has not recognized this amount in the consolidated financial statements.

10. Business Segments

The Company operates in two business segments which are organized by product types: laboratory and scientific products and medical devices. Laboratory and scientific products include the Aura™ ductless fume enclosure and forensic equipment primarily used in law enforcement. Medical device products include the AutoSonix ultrasonic cutting and coagulatory system, refurbishing revenues of high-performance ultrasound systems and replacement transducers for the medical diagnostic ultrasound industry, ultrasonic lithotripter, ultrasonic neuroaspirator (used for neurosurgery) and soft tissue aspirator (used primarily for the cosmetic surgery market). The Company evaluates the performance of the segments based upon income from operations less general and administrative expenses and litigation (recovery) settlement expenses, which are maintained at the corporate headquarters (corporate). The Company does not allocate assets by segment as such information is not provided to the chief decision maker. Summarized financial information for each of the segments for the six and three months ended December 31, 2010 and 2009 are as follows:

For the six months ended December 31, 2010:

	Medical Device Products	Laboratory and Scientific Products	Corporate and Unallocated	Total
Net sales	\$ 5,454,823	\$ 1,226,854	\$	\$ 6,681,677
Cost of goods sold	2,259,003	898,807		3,157,810
Gross profit	3,195,820	328,047		3,523,867
Selling expenses	1,728,207	291,493		2,019,700
Research and development expenses	733,438	155,341		888,779
General and administrative expenses			2,327,287	2,327,287
Total operating expenses	2,461,645	446,834	2,327,287	5,235,766

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Operating income (loss) from continuing operations	\$	734,175	\$	(118,787)	\$	(2,327,287)	\$	(1,711,899)
Net loss from discontinued operations	\$	(146,285)	\$		\$		\$	(146,285)

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MISONIX, INC. and Subsidiaries
Notes to Consolidated Financial Statements
(Unaudited)

For the six months ended December 31, 2009:

	Medical Device Products	Laboratory and Scientific Products	Corporate and Unallocated	Total
Net sales	\$ 4,497,526	\$ 1,281,665	\$	\$ 5,779,191
Cost of goods sold	2,291,238	973,037		3,264,275
Gross profit	2,206,288	308,628		2,514,916
Selling expenses	1,725,551	252,935		1,978,486
Research and development expenses	780,537	165,503		946,040
General and administrative expenses			2,803,164	2,803,164
Total operating expenses	2,506,088	418,438	2,803,164	5,727,690
Operating loss from continuing operations	\$ (299,800)	\$ (109,810)	\$ (2,803,164)	\$ (3,212,774)
Net income from discontinued operations	\$ 351,207	\$ 342,531	\$	\$ 693,738

For the three months ended December 31, 2010:

	Medical Device Products	Laboratory and Scientific Products	Corporate and Unallocated	Total
Net sales	\$ 2,762,555	\$ 661,134	\$	\$ 3,423,689
Cost of goods sold	1,039,306	497,801		1,537,107
Gross profit	1,723,249	163,333		1,886,582
Selling expenses	907,693	147,000		1,054,693
Research and development expenses	352,161	76,124		428,285
General and administrative expenses			1,109,482	1,109,482
Total operating expenses	1,259,854	223,124	1,109,482	2,592,460
Operating income (loss) from continuing operations	\$ 463,395	\$ (59,791)	\$ (1,109,482)	\$ (705,878)
Net loss from discontinued operations	\$ 29,030	\$	\$	\$ 29,030

For the three months ended December 31, 2009:

	Medical Device	Laboratory and	Corporate and
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	Products	Scientific Products	Unallocated	Total
Net sales	\$ 2,494,242	\$ 653,932	\$	\$ 3,148,174
Cost of goods sold	1,196,539	445,843		1,642,382
Gross profit	1,297,703	208,089		1,505,792
Selling expenses	926,396	132,483		1,058,879
Research and development expenses	443,842	79,729		523,571
General and administrative expenses			1,490,484	1,490,484
Total operating expenses	1,370,238	212,212	1,490,484	3,072,934
Operating loss from continuing operations	\$ (72,535)	\$ (4,123)	\$ (1,490,484)	\$ (1,567,142)
Net income from discontinued operations	\$ 199,214	\$ 142,492	\$	\$ 341,706

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MISONIX, INC. and Subsidiaries
Notes to Consolidated Financial Statements
(Unaudited)

The Company's revenues are generated from various geographic regions. The following is an analysis of net sales by geographic region:

	Three months ended December 31,		Six months ended December 31,	
	2010	2009	2010	2009
United States	\$ 2,517,688	\$ 2,642,750	\$ 4,884,400	\$ 4,787,804
United Kingdom	18,418	66,599	18,418	67,341
Europe	320,567	182,321	728,240	429,500
Asia	127,041	77,109	210,847	240,530
Canada and Mexico	61,450	8,805	160,612	59,861
Middle East	159,824	88,962	187,858	88,962
Other	218,701	81,628	491,302	105,193
	\$ 3,423,689	\$ 3,148,174	\$ 6,681,677	\$ 5,779,191

12. Fair Value of Financial Instruments

We follow a three-level fair value hierarchy that prioritizes the inputs to measure fair value. This hierarchy requires entities to maximize the use of observable inputs and minimize the use of unobservable inputs. The three levels of inputs used to measure fair value are as follows:

Level 1: Quoted prices (unadjusted) for identical assets or liabilities in active markets as of the measurement date.

Level 2: Significant other observable inputs other than Level 1 prices such as quoted prices for similar assets or liabilities; quoted prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data.

Level 3: Significant unobservable inputs that reflect assumptions that market participants would use in pricing an asset or liability.

The following is a summary of the carrying amounts and estimated fair values of our financial instruments at December 31, 2010:

	Carrying Amount	Fair Value
December 31, 2010		
Cash and cash equivalents	\$ 8,237,125	\$ 8,237,125
Trade accounts receivable	2,290,466	2,290,466
Trade accounts payable	1,570,001	1,570,001
Note receivable	210,000	210,000
Note payable	10,701	10,701
June 30, 2010		
Cash and cash equivalents	\$ 9,900,605	\$ 9,900,605
Trade accounts receivable	2,335,653	2,335,653
Trade accounts payable	888,654	888,654
Notes receivable	1,075,105	1,075,105
Note payable	177,679	177,679

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MISONIX, INC. and Subsidiaries
Notes to Consolidated Financial Statements
(Unaudited)

The following methods and assumptions were used to estimate the fair value of each class of financial instruments for which it is practicable to estimate that value:

Cash

The carrying amount approximates fair value because of the short maturity of those instruments.

Trade Accounts Receivable

The carrying amount of trade receivables reflects net recovery value and approximates fair value because of their short outstanding terms.

Trade Accounts Payable

The carrying amount of trade payables approximates fair value because of their short outstanding terms.

Note Receivable

The carrying amount of the note receivable approximates fair value because the discount rate is fair market value.

Note Payable

The carrying amount of the note payable approximates fair value because the discount rate is fair market value.

Non-financial assets and liabilities:

Certain non-financial assets and liabilities, principally goodwill, are measured at fair value in a non-recurring basis; that is the assets and liabilities are not measured at fair value on an ongoing basis but are subject to fair value adjustments in certain circumstances, such as when evidence of impairment exists. At December 31, 2010 and for the three months then ended, no fair value adjustments or material fair value measurements were required for non-financial assets or liabilities.

13. Goodwill and Intangible Assets

Goodwill represents the excess of the purchase price over the fair value of the net assets acquired in connection with the Company's acquisitions of assets from Fibra Sonics, Inc. and are fully integrated into Misonix.

Goodwill and intangible assets with indefinite useful lives are not amortized. We review goodwill and identifiable intangible assets with indefinite lives for impairment annually and whenever events or changes indicate that the carrying value of an asset may not be recoverable. These events or circumstances could include a significant change in the business climate, legal factors, operating performance indicators, competition, or sale or disposition of significant assets or products. Application of these impairment tests requires significant judgments, including estimation of cash flows, which is dependent on internal forecasts, estimation of the long-term rate of growth for our business, the useful life over which cash flows will occur and determination of our weighted-average cost of capital. Changes in the projected cash flows and discount rate estimates and assumptions underlying the valuation of goodwill could materially affect the determination of fair value at acquisition or during subsequent periods when tested for impairment. The Company completed its annual goodwill impairment tests for fiscal 2010. There were no indicators that the recorded goodwill was impaired as of December 31, 2010 which required further testing.

The cost of acquiring or processing patents is capitalized at cost. This amount is being amortized using the straight-line method over the estimated useful lives of the underlying assets, which is approximately 17 years. Net patents reported in other assets totaled \$540,757 and \$517,735 at December 31, 2010 and June 30, 2010, respectively. Accumulated amortization totaled \$386,608 and \$355,678 at December 31, 2010 and June 30, 2010, respectively. Amortization expense for the six month and three periods ending December 31, 2010 and was approximately \$31,000 and \$16,000 respectively. Net customer relationships reported in other assets totaled \$760,000 and \$0 at December 31, 2010 and June 30, 2010 respectively. Amortization expense for the six month and three month periods ending December 31, 2010 was \$40,000.

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MISONIX, INC. and Subsidiaries
Notes to Consolidated Financial Statements
(Unaudited)

The following is a schedule of estimated future amortization expense as of December 31, 2010:

	Patents	Customer Relationships
June 30, 2011	\$ 33,000	\$ 80,000
June 30, 2012	62,000	160,000
June 30, 2013	58,000	160,000
June 30, 2014	55,000	160,000
June 30, 2015	50,000	160,000
Thereafter	283,000	40,000
	\$ 541,000	\$ 760,000

14. Recent Accounting Pronouncements

In October 2009, the FASB issued an accounting pronouncement which amends revenue recognition guidance for arrangements with multiple deliverables. The new guidance eliminates the residual method of revenue recognition and allows the use of management's best estimate of a selling price for individual elements of an arrangement when vendor specific objective evidence, vendor objective evidence or third-party evidence is unavailable. Full retrospective application of the new guidance is optional. The adoption of this pronouncement did not have a material impact on the Company's consolidated financial statements.

In January 2010, the FASB issued an accounting pronouncement which amends fair value measurements and disclosures. The reporting entity must disclose information that enables the users of its financial statements to assess both (a) for assets and liabilities that are measured at fair value on a recurring basis in periods subsequent to internal recognition, the valuation techniques and inputs used to develop their measurement and (b) for recurring fair value measurement using significant unobservable inputs, the effect of the measurements on earnings for this period. The adoption of this pronouncement did not have a material impact on the Company's consolidated financial statements.

In April 2010, the FASB issued guidance to clarify that an employee share-based payment award that has an exercise price denominated in the currency of the market in which a substantial portion of the entity's equity shares trades should not be considered to contain a condition that is not a market, performance, or service condition. Therefore, an entity should not classify such an award as a liability if it otherwise qualifies as equity. The amended guidance is effective for fiscal years, and interim periods within those fiscal years, beginning on or after December 15, 2010. The Company does not expect the adoption to have a material impact on the Company's Financial Statements.

In July 2010, the FASB issued guidance that will enhance future disclosure about the credit quality of a creditor's financing receivables and the adequacy of its allowance for credit losses. The amended guidance will be effective beginning with the first quarterly or annual reporting period ending on or after December 15, 2010. The adoption of the guidance did not have any material impact on the Company's consolidated financial statements.

15. Subsequent Events

The Company evaluated events occurring subsequent to December 31, 2010 for potential recognition and disclosure in the consolidated financial statements.

Table of Contents**Item 2. Management's Discussion and Analysis of Financial Condition and Results of Operations.**

This Management's Discussion and Analysis of Financial Condition and Results of Operations of Misonix and its subsidiaries, which we refer to as "Misonix", "we", "our", and "us", should be read in conjunction with the accompanying unaudited financial statements included in Item 1. Financial Statements of this Report and Item 7. Management's Discussion and Analysis of Financial Condition and Results of Operations in our Annual Report on Form 10-K, filed with the Securities and Exchange Commission (the "SEC") on September 28, 2010, for the fiscal year ended June 30, 2010 ("2010 Form 10-K"). Item 7 of the 2010 Form 10-K describes the application of our critical accounting policies, for which there have been no significant changes as of December 31, 2010.

Forward Looking Statements

This Report contains certain forward looking statements within the meaning of Section 27A of the Securities Act of 1933, as amended, and Section 21E of the Securities Exchange Act of 1934, as amended (the "Exchange Act"), which are intended to be covered by the safe harbors created thereby. Although the Company believes that the assumptions underlying the forward looking statements contained herein are reasonable, any of the assumptions could be inaccurate, and therefore, there can be no assurance that the forward looking statements contained in this Report will prove to be accurate. Factors that could cause actual results to differ from the results specifically discussed in the forward looking statements include, but are not limited to, the absence of anticipated contracts, higher than historical costs incurred in the performance of contracts or in conducting other activities, product mix in sales, results of joint ventures and investments in related entities, future economic, competitive and market conditions, and the outcome of legal proceedings as well as management business decisions.

Six months ended December 31, 2010 and 2009.

Net sales: Net sales of the Company's medical device products and laboratory and scientific products increased \$902,486 to \$6,681,677 for the six months ended December 31, 2010 from \$5,779,191 for the six months ended December 31, 2009. The change in net sales is due to an increase in sales of medical device products of \$957,297 to \$5,454,823 for the six months ended December 31, 2010 from \$4,497,526 for the six months ended December 31, 2009. The change in net sales is partially offset by a decrease in laboratory and scientific products sales of \$54,811 to \$1,226,854 for the six months ended December 31, 2010 from \$1,281,665 for the six months ended December 31, 2009. The increase in therapeutic medical device products sales was primarily attributable to an increase in sales of the Company's Neuroaspirator of \$818,233 and AutoSonix products of \$218,944. The decrease in laboratory and scientific products sales is primarily due to lower forensic market sales due to the overall state and municipal economic environment.

Gross profit: Gross profit increased to 52.7% for the six months ended December 31, 2010 from 43.5% for the six months ended December 31, 2009. Gross profit for medical device products increased to 58.6% for the six months ended December 31, 2010 from 49.1% for the six months ended December 31, 2009. Gross profit for laboratory and scientific products increased to 26.7% for the six months ended December 31, 2010 from 24.1% for the six months ended December 31, 2009. Gross profit for medical device products was favorably impacted in the six months ended December 31, 2010 predominately due to a favorable product mix of higher margin Neuroaspirator products. The increase in gross profit percentage in the December 2010 period for laboratory and scientific products is due to lower fixed factory overhead costs.

Selling expenses: Selling expenses increased \$41,214 to \$2,019,700 for the six months ended December 31, 2010 from \$1,978,486 for the six months ended December 31, 2009. Laboratory and scientific products selling expenses increased \$38,558. Selling expenses for medical device products increased \$2,656.

General and administrative expenses: General and administrative expenses decreased \$475,877 from \$2,803,164 in the six months ended December 31, 2009 to \$2,327,287 in the six months ended December 31, 2010 mainly due to lower salary expense, bank fees, rent and insurance.

Research and development expenses: Research and development expenses decreased \$57,261 from \$946,040 for the six months ended December 31, 2009 to \$888,779 for the six months ended December 31, 2010. Laboratory and scientific products research and development expenses decreased \$10,162. Research and development expenses for medical device products decreased \$47,099, primarily due to decreased product development expenses and a reduction in headcount.

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Other income (expense): Other income for the six months ended December 31, 2010 was \$346,272 as compared to \$217,534 for the six months ended December 31, 2009, an increase of \$128,738 due to higher royalty income, lower interest expense and lower royalty expense.

Income taxes: The effective tax rate was (3%) for the six months ended December 31, 2010, as compared to an effective tax rate of 39% for the six months ended December 31, 2009. The (3%) is predicated on the assumption of an effective tax rate of approximately (3%) based upon updated assumptions for fiscal 2011 plus the impact of permanent differences between accounting and taxable income.

Three months ended December 31, 2010 and 2009.

Net sales: Net sales of the Company's medical device products and laboratory and scientific products increased \$275,515 to \$3,423,689 for the three months ended December 31, 2010 from \$3,148,174 for the three months ended December 31, 2009. The change in net sales is due to an increase in sales of medical device products of \$268,313 to \$2,762,555 for the three months ended December 31, 2010 from \$2,494,242 for the three months ended December 31, 2009. The change in net sales is also due to an increase in laboratory and scientific products sales of \$7,202 to \$661,134 for the three months ended December 31, 2010 from \$653,932 for the three months ended December 31, 2009. The increase in therapeutic medical device products sales was primarily attributable to sales of the Company's Neuroaspirator products.

Gross profit: Gross profit increased to 55.1% for the three months ended December 31, 2010 from 47.8% for the three months ended December 31, 2009. Gross profit for medical device products increased to 62.4% for the three months ended December 31, 2010 from 52% for the three months ended December 31, 2009. Gross profit for laboratory and scientific products decreased to 24.7% for the three months ended December 31, 2010 from 31.8% for the three months ended December 31, 2009. Gross profit for medical device products was favorably impacted in the three months ended December 31, 2010 predominately due to a favorable product mix of higher margin Neuroaspirator products. The decrease in gross profit percentage in the December 2010 period for laboratory and scientific products is due to higher fixed factory overhead costs.

Selling expenses: Selling expenses decreased \$4,186 to \$1,054,693 for the three months ended December 31, 2010 from \$1,058,879 for the three months ended December 31, 2009. Laboratory and scientific products selling expenses increased \$14,517. Selling expenses for medical device products decreased \$18,703.

General and administrative expenses: General and administrative expenses decreased \$381,002 from \$1,490,484 in the three months ended December 31, 2009 to \$1,109,482 in the three months ended December 31, 2010 mainly due to lower salary expense, rent, insurance and consulting expense.

Research and development expenses: Research and development expenses decreased \$95,286 from \$523,571 for the three months ended December 31, 2009 to \$428,285 for the three months ended December 31, 2010. Laboratory and scientific products research and development expenses decreased \$3,605. Research and development expenses for medical device products decreased \$91,681, primarily due to lower product development and salary expenses.

Other income (expense): Other income for the three months ended December 31, 2010 was \$144,682 as compared to \$64,810 for the three months ended December 31, 2009, an increase of \$79,872 due to higher royalty income, lower interest and lower royalty expense.

Income taxes: The effective tax rate was (1%) for the three months ended December 31, 2010, as compared to an effective tax rate of 62% for the three months ended December 31, 2009. The (1%) is predicated on the assumption of an effective tax rate of approximately (1%) based upon updated assumptions for fiscal 2011 plus the impact of permanent differences between accounting and taxable income.

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Liquidity and Capital Resources

We regularly review our cash funding requirements and attempt to meet those requirements through a combination of cash on hand, cash provided by operations, and possible future public or private debt and/or equity offerings. At times, we evaluate possible acquisitions of, or investments in, businesses that are complementary to ours, which may require the use of cash. We believe that our cash, other liquid assets and access to equity capital markets, taken together, provide adequate resources to fund ongoing operations for at least the next twelve months. In the event that they do not, we may require additional funds in the future to support our working capital requirements or for other purposes and may seek to raise such additional funds through public or private equity and/or debt financings, divestiture of current business lines as well as from other sources. No assurance can be given that additional financing will be available in the future or that if available, such financing will be obtainable on favorable terms when required.

Working capital at December 31, 2010 and June 30, 2010 was \$12,205,000 and \$14,460,000, respec; FONT-SIZE: 9pt; VERTICAL-ALIGN: bottom">

CONT

CONTD OPERATED THROUGH THE SHARE REPURCHASE FUND. IT IS PROPOSED TO DELEGATE-TO THE HUMAN RESOURCES COMMITTEE, ACTING THROUGH THE ASSIGNATIONS' COMMITTEE,-THE FACULTY TO ESTABLISH THE TERMS AND CONDITIONS OF THE PLAN. FURTHERMORE,-IT IS REQUESTED TO RATIFY CERTAIN RESOLUTIONS AGREED FORMERLY BY THE BOARD OF-DIRECTORS RELATED TO THE IMPLEMENTATION OF THE PLAN

Non-Voting

4

EXTERNAL AUDITOR'S REPORT ON THE COMPANY'S TAX SITUATION

Management

For

For

5

DESIGNATION OF DELEGATE(S) TO FORMALIZE AND EXECUTE THE RESOLUTIONS PASSED BY THE ASSEMBLY

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

105,888

0

04-Oct-2014

17-Oct-2014

SEMICONDUCTOR MANUFACTURING INTERNATIONAL CORP, GE

Security

G8020E101

Meeting Type

ExtraOrdinary General Meeting

Ticker Symbol

Meeting Date

05-Nov-2014

ISIN

KYG8020E1017

Agenda

705618811 - Management

Record Date

31-Oct-2014

Holding Recon Date

31-Oct-2014

City /

Country

SHANGHA I

/

Cayman Islands

Vote Deadline Date

28-Oct-2014

SEDOL(s)

6743473 - B02QTC0 - B1BJS42 - BP3RX47

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

CMMT

PLEASE NOTE THAT SHAREHOLDERS ARE ALLOWED TO VOTE 'IN FAVOR' OR 'AGAINST' FOR-ALL RESOLUTIONS, ABSTAIN IS NOT A VOTING OPTION ON THIS MEETING

Non-Voting

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- <http://www.hkexnews.hk/listedco/listconews/SEH K/2014/1017/LTN20141017316.pdf>-AND-
<http://www.hkexnews.hk/listedco/listconews/SEH K/2014/1017/LTN20141017303.pdf>

Non-Voting

1.a

TO APPROVE, CONFIRM AND RATIFY THE DATANG PRE-EMPTIVE SHARE SUBSCRIPTION AGREEMENT IN RELATION TO THE ISSUE OF THE DATANG PRE- EMPTIVE SHARES AND THE TRANSACTIONS CONTEMPLATED THEREBY

Management

For
For

1.b

TO APPROVE THE ISSUE OF THE DATANG PRE-EMPTIVE SHARES TO DATANG PURSUANT TO THE TERMS AND CONDITIONS OF THE DATANG PRE-EMPTIVE SHARE SUBSCRIPTION AGREEMENT

Management

For

For

1.c

TO APPROVE, CONFIRM AND RATIFY THE DATANG PRE-EMPTIVE BOND SUBSCRIPTION AGREEMENT IN RELATION TO THE ISSUE OF THE DATANG PRE- EMPTIVE BONDS AND THE TRANSACTIONS CONTEMPLATED THEREBY

Management

For

For

1.d

TO APPROVE, SUBJECT TO THE COMPLETION OF THE DATANG PRE- EMPTIVE BOND SUBSCRIPTION AGREEMENT, THE CREATION AND ISSUE OF THE DATANG PRE-EMPTIVE BONDS TO DATANG PURSUANT TO THE TERMS AND CONDITIONS OF THE DATANG PRE-EMPTIVE BOND SUBSCRIPTION AGREEMENT

Management

For

For

1.e

TO APPROVE THE DATANG SUPPLEMENTAL AGREEMENT IN RELATION TO AMENDMENTS OF THE PRE-EMPTIVE RIGHTS PROVISION IN THE DATANG SHARE PURCHASE AGREEMENT

Management

For

For

1.f

TO AUTHORISE AND GRANT A SPECIFIC MANDATE TO THE DIRECTORS OF THE COMPANY TO ALLOT, ISSUE AND DEAL WITH THE DATANG PRE-EMPTIVE SHARES AND THE DATANG CONVERSION SHARES UPON EXERCISE OF THE CONVERSION RIGHTS ATTACHING TO THE DATANG PRE-EMPTIVE BONDS ON AND SUBJECT TO THE TERMS AND CONDITIONS OF THE DATANG PREEMPTIVE SHARE SUBSCRIPTION AGREEMENT, THE DATANG PRE-EMPTIVE BOND SUBSCRIPTION AGREEMENT AND THE DATANG PRE-EMPTIVE BONDS

Management

For

For

1.g

TO AUTHORISE ANY DIRECTOR(S) OF THE COMPANY TO ENTER INTO ANY AGREEMENT, DEED OR INSTRUMENT AND/OR TO EXECUTE AND DELIVER ALL SUCH DOCUMENTS AND/OR DO ALL SUCH ACTS ON BEHALF OF THE COMPANY AS HE/SHE MAY CONSIDER TO BE NECESSARY, DESIRABLE OR EXPEDIENT FOR THE PURPOSE OF, OR IN CONNECTION WITH (I) THE IMPLEMENTATIONS AND

COMPLETION OF THE DATANG PRE-EMPTIVE SHARE SUBSCRIPTION AGREEMENT, THE DATANG PRE-EMPTIVE BOND SUBSCRIPTION AGREEMENT, THE DATANG SUPPLEMENTAL AGREEMENT AND TRANSACTIONS CONTEMPLATED THEREUNDER AND/OR (II) ANY AMENDMENT, VARIATION OR MODIFICATION OF THE DATANG PREEMPTIVE SHARE SUBSCRIPTION AGREEMENT, THE DATANG PRE-EMPTIVE BOND SUBSCRIPTION AGREEMENT, THE DATANG SUPPLEMENTAL AGREEMENT AND THE TRANSACTIONS CONTEMPLATED THEREUNDER

Management

For

For

2.a

TO APPROVE, CONFIRM AND RATIFY THE COUNTRY HILL PRE-EMPTIVE SUBSCRIPTION AGREEMENT IN RELATION TO THE ISSUE OF THE COUNTRY HILL PRE- EMPTIVE SHARES AND THE TRANSACTIONS CONTEMPLATED THEREBY

Management

For

For

2.b

TO APPROVE THE ISSUE OF THE COUNTRY HILL PRE-EMPTIVE SHARES TO COUNTRY HILL PURSUANT TO THE TERMS AND CONDITIONS OF THE COUNTRY HILL PRE- EMPTIVE SUBSCRIPTION AGREEMENT

Management

For

For

2.c

TO AUTHORISE AND GRANT A SPECIFIC MANDATE TO THE DIRECTORS OF THE COMPANY TO ALLOT, ISSUE AND DEAL WITH COUNTRY HILL PRE-EMPTIVE SHARES, ON AND SUBJECT TO THE TERMS AND CONDITIONS OF THE COUNTRY HILL PREEMPTIVE SUBSCRIPTION AGREEMENT

Management

For

For

2.d

TO AUTHORISE ANY DIRECTOR(S) OF THE COMPANY TO ENTER INTO ANY AGREEMENT, DEED OR INSTRUMENT AND/OR TO EXECUTE AND DELIVER ALL SUCH DOCUMENTS AND/OR DO ALL SUCH ACTS ON BEHALF OF THE COMPANY AS HE/SHE MAY CONSIDER TO BE NECESSARY, DESIRABLE OR EXPEDIENT FOR THE PURPOSE OF, OR IN CONNECTION WITH (I)

Management

For

For

THE IMPLEMENTATIONS AND COMPLETION OF THE COUNTRY HILL PRE-EMPTIVE SUBSCRIPTION AGREEMENT AND TRANSACTIONS CONTEMPLATED THEREUNDER AND/OR (II) ANY AMENDMENT, VARIATION OR MODIFICATION OF THE COUNTRY HILL PREEMPTIVE SUBSCRIPTION AGREEMENT

AND THE TRANSACTIONS CONTEMPLATED THEREUNDER

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

3,641,000

0

18-Oct-2014

30-Oct-2014

WELLPOINT, INC.

Security

94973V107

Meeting Type

Special

Ticker Symbol

WLP

Meeting Date

05-Nov-2014

ISIN

US94973V1070

Agenda

934077834 - Management

Record Date

12-Sep-2014

Holding Recon Date

12-Sep-2014

City /

Country

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/

United States

Vote Deadline Date

04-Nov-2014

SEDOL(s)

Quick Code

Item

Proposal

Proposed by

Vote

For/Against Management

1.

TO AMEND THE ARTICLES OF INCORPORATION TO CHANGE THE NAME OF THE COMPANY FROM WELLPOINT, INC. TO ANTHEM, INC.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

4,010

0

24-Sep-2014

24-Sep-2014

LAM RESEARCH CORPORATION

Security

512807108

Meeting Type

Annual

Ticker Symbol

LRCX

Meeting Date

06-Nov-2014

ISIN

US5128071082

Agenda

934078191 - Management

Record Date

08-Sep-2014

Holding Recon Date

08-Sep-2014

City /

Country

/

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United States

Vote Deadline Date
05-Nov-2014

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
MARTIN B. ANSTICE

For
For

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2

ERIC K. BRANDT

For

For

3

MICHAEL R. CANNON

For

For

4

YOUSSEF A. EL-MANSY

For

For

5

CHRISTINE A. HECKART

For

For

6

GRANT M. INMAN

For

For

7

CATHERINE P. LEGO

For

For

8

STEPHEN G. NEWBERRY

For

For

9

KRISHNA C. SARASWAT

For

For

10

WILLIAM R. SPIVEY

For
For

11
ABHIJIT Y. TALWALKAR

For
For

2.
ADVISORY VOTE ON THE COMPENSATION OF THE NAMED EXECUTIVE OFFICERS OF LAM
RESEARCH ("SAY ON PAY").

Management
For
For

3.
RATIFICATION OF THE APPOINTMENT OF THE INDEPENDENT REGISTERED PUBLIC ACCOUNTING
FIRM FOR FISCAL YEAR 2015.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
16,000
0
24-Sep-2014
24-Sep-2014
CITIC SECURITIES CO LTD
Security

Y1639N117

Meeting Type

ExtraOrdinary General Meeting

Ticker Symbol

Meeting Date

22-Dec-2014

ISIN

CNE1000016V2

Agenda

705691524 - Management

Record Date

21-Nov-2014

Holding Recon Date

21-Nov-2014

City /

Country

BEIJING

/

China

Vote Deadline Date

11-Dec-2014

SEDOL(s)

B6SPB49 - B76VCF4 - B7WHGP4 - BP3RTD8

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- <http://www.hkexnews.hk/listedco/listconews/SEH K/2014/1105/LTN20141105623.pdf>-AND-
<http://www.hkexnews.hk/listedco/listconews/SEH K/2014/1105/LTN20141105585.pdf>

Non-Voting

1

THAT: THE COMPANY BE AND IS HEREBY APPROVED, RATIFIED AND CONFIRMED TO ABSORB AND MERGE WITH CITIC SECURITIES (ZHEJIANG) IN ACCORDANCE WITH THE PROPOSAL SET OUT IN THE SECTION HEADED "2. PROPOSED ABSORPTION AND MERGER OF THE WHOLLY-OWNED SUBSIDIARY CITIC SECURITIES (ZHEJIANG)" IN THE LETTER FROM THE BOARD CONTAINED IN THE CIRCULAR, AND TO AUTHORIZE ANY ONE OF THE DIRECTORS OR THE MANAGEMENT OF THE COMPANY TO IMPLEMENT ALL MATTERS RELATING TO THIS ABSORPTION AND MERGER, INCLUDING WITHOUT LIMITATION TO, THE AUDIT, ASSESSMENTS (IF NECESSARY), APPROVALS, EXECUTION OF AN ABSORPTION AND MERGER AGREEMENT, TRANSFER OF ASSETS AND THE OWNERSHIP CHANGE, AND REGISTRATION FORMALITIES WITH COMPETENT INDUSTRY AND COMMERCE AUTHORITIES, AS WELL AS TO TAKE ALL OTHER NECESSARY ACTIONS

Management

For
For

2

THAT: (A) SUBJECT TO THE REQUIRED APPROVAL OR ENDORSEMENT FROM OR REGISTRATION WITH THE RELEVANT REGULATORY AUTHORITIES IN THE PRC, THE PROPOSED CHANGE OF BUSINESS SCOPE OF THE COMPANY AND THE PROPOSED AMENDMENTS TO THE ARTICLES OF ASSOCIATION (DETAILS OF WHICH ARE SET OUT IN THE SECTION HEADED "3. PROPOSED CHANGE OF BUSINESS SCOPE OF THE COMPANY AND AMENDMENTS TO THE ARTICLES OF ASSOCIATION" IN THE LETTER FROM THE BOARD CONTAINED IN THE CIRCULAR) BE AND ARE HEREBY APPROVED AND CONFIRMED; (B) ANY ONE OF THE DIRECTORS OR THE MANAGEMENT OF THE

Management

For
For

COMPANY BE AND IS HEREBY AUTHORIZED TO IMPLEMENT AND TAKE ALL STEPS AND TO DO ALL ACTS AND THINGS AS MAY BE NECESSARY OR DESIRABLE TO GIVE EFFECT TO THE PROPOSED CHANGE OF BUSINESS SCOPE OF THE COMPANY AND THE PROPOSED AMENDMENTS TO THE ARTICLES OF ASSOCIATION, INCLUDING BUT NOT CONTD

CONT

CONTD LIMITED TO OBTAINING ALL NECESSARY APPROVALS FROM, AND UNDERTAKING-RELEVANT REGISTRATION AND FILING PROCEDURES WITH THE RELEVANT REGULATORY-AUTHORITIES IN THE PRC, AND SIGNING AND EXECUTING SUCH FURTHER DOCUMENTS, OR-DOING ANY OTHER MATTERS INCIDENTAL THERETO AND/OR AS CONTEMPLATED THEREUNDER,-AS SUCH DIRECTOR OR MANAGEMENT OF THE COMPANY MAY IN HIS/HER ABSOLUTE-DISCRETION DEEM FIT; AND (C) ANY ONE OF THE DIRECTORS OR THE MANAGEMENT OF-THE COMPANY BE AND IS HEREBY AUTHORIZED TO MAKE SUCH OTHER MODIFICATIONS TO-THE PROPOSED AMENDMENTS TO THE ARTICLES OF ASSOCIATION AS MAY BE REQUIRED BY-THE RELEVANT REGULATORY AUTHORITIES IN THE PRC

Non-Voting

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

319,500

0

06-Nov-2014

17-Dec-2014

HYPERMARCAS SA, SAO PAULO

Security

P5230A101

Meeting Type

ExtraOrdinary General Meeting

Ticker Symbol

Meeting Date

22-Dec-2014

ISIN

BRHYPEACNOR0

Agenda

705741634 - Management

Record Date

Holding Recon Date

18-Dec-2014

City /

Country

SAO PAULO

/

Brazil

Vote Deadline Date

12-Dec-2014

SEDOL(s)

B2QY968

Quick Code

Item

Proposal

Proposed by

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Vote
For/Against Management

CMMT

IMPORTANT MARKET PROCESSING REQUIREMENT: A BENEFICIAL OWNER SIGNED POWER OF-ATTORNEY (POA) IS REQUIRED IN ORDER TO LODGE AND EXECUTE YOUR VOTING-INSTRUCTIONS IN THIS MARKET. ABSENCE OF A POA, MAY CAUSE YOUR INSTRUCTIONS TO-BE REJECTED. IF YOU HAVE ANY QUESTIONS, PLEASE CONTACT YOUR CLIENT SERVICE-REPRESENTATIVE

Non-Voting

CMMT

PLEASE NOTE THAT VOTES 'IN FAVOR' AND 'AGAINST' IN THE SAME AGENDA ITEM ARE- NOT ALLOWED. ONLY VOTES IN FAVOR AND/OR ABSTAIN OR AGAINST AND/ OR ABSTAIN-ARE ALLOWED. THANK YOU

Non-Voting

I

TO RATIFY THE PROTOCOL AND JUSTIFICATION OF SPIN OFF FROM HYPERMARCAS S.A. WITH THE MERGER OF THE SPUN OFF PORTION INTO COSMED INDUSTRIA DE COSMETICOS E MEDICAMENTOS S.A., WHICH WAS PREPARED BY THE EXECUTIVE COMMITTEES OF THE COMPANY AND OF COSMED AND WHICH ESTABLISHES, AMONG OTHER THINGS, THE TERMS AND CONDITIONS OF THE SPIN OFF FROM THE COMPANY, FROM HERE ONWARDS REFERRED TO AS THE SPIN OFF, FOLLOWED BY THE MERGER OF THE SPUN OFF PORTION OF ITS EQUITY, WHICH CONSISTS OF CERTAIN ASSETS AND LIABILITIES RELATED TO THE MANUFACTURE AND SALE OF CERTAIN MEDICATIONS, FROM HERE ONWARDS REFERRED TO AS THE SPUN OFF PORTION, INTO ITS WHOLLY OWNED SUBSIDIARY COSMED INDUSTRIA DE COMETICOS E MEDICAMENTOS S.A., A SHARE CORPORATION, WITH ITS HEAD OFFICE IN THE CITY OF BARUERI, STATE OF SAO PAULO, AT AVENIDA CECI 282, MODULE 1, CENTRO CONTD

Management

No Action

CONT

CONTD EMPRESARIAL TAMBORE, TAMBORE, ZIP CODE 06460.120, WITH CORPORATE- TAXPAYER ID NUMBER, CNPJ.MF, 61.082.426.0002.07, FROM HERE ONWARDS REFERRED-TO AS COSMED, FROM HERE ONWARDS REFERRED TO AS THE MERGER OF THE SPUN OFF-PORION, FROM HERE ONWARDS REFERRED TO AS THE SPIN OFF PROTOCOL

Non-Voting

II

TO RATIFY THE APPOINTMENT AND HIRING OF CCA CONTINUITY AUDITORES INDEPENDETES S.S., A SIMPLE PARTNERSHIP, WITH ITS HEAD OFFICE IN THE CITY OF SAO PAULO, STATE OF SAO PAULO, AT ALAMEDA SANTOS 2313, 2ND FLOOR, JARDIM PAULISTA, WHICH IS DULY REGISTERED

WITH THE SAO PAULO REGIONAL ACCOUNTING COMMITTEE, CRC.SP, UNDER NUMBER 2SP025430.O.2, WITH CORPORATE TAXPAYER ID NUMBER, CNPJ.MF, 10.686.276.0001.29, FROM HERE ONWARDS REFERRED TO AS CCA, AS THE SPECIALIZED COMPANY RESPONSIBLE FOR THE PREPARATION OF THE VALUATION REPORT, IN REGARD TO THE VALUATION AT BOOK VALUE OF THE SPUN OFF PORTION, FOR THE PURPOSES OF THE SPIN OFF FROM THE COMPANY, OF THE MERGER OF THE SPUN OFF PORTION AND OF THE SHARE MERGER, AS DEFINED BELOW, ON THE BASIS DATE OF SEPTEMBER 30, 2014, FROM HERE ONWARDS REFERRED TO AS THE VALUATION REPORT

Management
No Action

III
TO APPROVE THE VALUATION REPORT, IN REGARD TO THE SPIN OFF

Management
No Action

IV
TO CONSIDER AND APPROVE THE PROPOSAL OF THE SPIN OFF FROM THE COMPANY, IN ACCORDANCE WITH THE SPIN OFF PROTOCOL AND IN ACCORDANCE WITH THE TERMS OF ARTICLE 229 OF THE BRAZILIAN CORPORATE LAW, WITH THE CONSEQUENT REDUCTION OF THE SHARE CAPITAL OF THE COMPANY, IN THE AMOUNT OF BRL 48,631,228.79, THROUGH THE CANCELLATION OF 4,150,727 COMMON, NOMINATIVE, BOOK ENTRY SHARES, THAT HAVE NO PAR VALUE, ISSUED BY THE COMPANY, PROPORTIONALLY TO THE EQUITY INTERESTS HELD BY THE SHAREHOLDERS OF THE COMPANY

Management
No Action

V
TO CONSIDER AND APPROVE THE PROPOSAL FOR THE MERGER OF THE SPUN OFF PORTION INTO COSMED, IN ACCORDANCE WITH THE SPIN OFF PROTOCOL AND IN ACCORDANCE WITH THE TERMS OF ARTICLE 227 OF THE BRAZILIAN CORPORATE LAW, WITH THE CONSEQUENT INCREASE OF THE SHARE CAPITAL OF COSMED, IN THE AMOUNT OF BRL 48,631,228.79, THROUGH THE ISSUANCE OF

Management
No Action

144,448,632 COMMON, NOMINATIVE SHARES THAT HAVE NO PAR VALUE BY COSMED, TO BE SUBSCRIBED FOR AND PAID IN BY THE SHAREHOLDERS OF THE COMPANY, AS A RESULT OF THE SPIN OFF, IN PROPORTION TO THEIR CURRENT EQUITY INTEREST IN THE SHARE CAPITAL OF THE COMPANY

VI
TO RATIFY THE PROTOCOL AND JUSTIFICATION OF THE MERGER OF SHARES OF COSMED INDUSTRIA DE COSMETICOS E MEDICAMENTOS S.A. INTO HYPERMARCAS S.A., THAT WAS PREPARED BY THE EXECUTIVE COMMITTEES OF THE COMPANY AND OF COSMED IN ACCORDANCE WITH THE TERMS OF ARTICLE 252 OF THE BRAZILIAN CORPORATE LAW, WHICH ESTABLISHES THE TERMS AND CONDITIONS OF THE SHARE MERGER, AS DEFINED BELOW, AND OF THE ACTS AND MEASURES CONTEMPLATED IN IT, FROM HERE ONWARDS REFERRED TO AS THE SHARE MERGER

PROTOCOL

Management
No Action

VII
TO RATIFY THE APPOINTMENT AND HIRING OF CCA AS THE SPECIALIZED COMPANY THAT IS RESPONSIBLE FOR THE PREPARATION OF THE VALUATION REPORT, IN REGARD TO THE BOOK VALUATION OF THE SHARES OF COSMED FOR THE PURPOSES OF THE SHARE MERGER, AS DEFINED BELOW, ON THE BASIS DATE OF SEPTEMBER 30, 2014

Management
No Action

VIII
TO APPROVE THE VALUATION REPORT, IN REGARD TO THE SHARE MERGER, AS DEFINED BELOW

Management
No Action

IX
TO CONSIDER AND APPROVE THE PROPOSAL FOR THE MERGER, INTO THE COMPANY, OF THE SHARES ISSUED BY COSMED, AS A RESULT OF THE SHARE CAPITAL INCREASE THAT OCCURRED DUE TO THE MERGER OF THE SPUN OFF PORTION INTO COSMED, FROM HERE ONWARDS REFERRED TO AS THE SHARE MERGER, IN ACCORDANCE WITH THE TERMS OF THE SHARE MERGER PROTOCOL, WITH THE CONSEQUENT INCREASE OF THE SHARE CAPITAL OF THE COMPANY IN THE AMOUNT OF BRL 48,631,228.79, THROUGH THE ISSUANCE OF 4,150,727 NEW, COMMON, NOMINATIVE, BOOK ENTRY SHARES THAT HAVE NO PAR VALUE, TO BE SUBSCRIBED FOR BY THE SHAREHOLDERS OF THE COMPANY IN PROPORTION TO THE EQUITY INTEREST THAT THEY CURRENTLY HAVE IN THE SHARE CAPITAL OF THE COMPANY

Management
No Action

X
TO AUTHORIZE THE MANAGERS OF THE COMPANY TO DO ALL THE ACTS THAT ARE NECESSARY TO CARRY OUT THE RESOLUTIONS THAT ARE PROPOSED AND APPROVED BY THE SHAREHOLDERS OF THE COMPANY

Management
No Action

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

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Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
62,500
0
06-Dec-2014
06-Dec-2014
MAN WAH HOLDINGS LTD
Security

G5800U107

Meeting Type
Special General Meeting
Ticker Symbol

Meeting Date
29-Dec-2014

ISIN

BMG5800U1071

Agenda
705741951 - Management
Record Date

23-Dec-2014

Holding Recon Date
23-Dec-2014

City /
Country

HONG KONG
/
Bermuda

Vote Deadline Date
22-Dec-2014

SEDOL(s)

B58VHF3 - B58YWF7 - B5WN7S8 - BS7K5D6
Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- [http://www.hkexnews.hk/listedco/listconews/sehk/ 2014/1208/LTN20141208853.pdf](http://www.hkexnews.hk/listedco/listconews/sehk/2014/1208/LTN20141208853.pdf)-AND-
[http://www.hkexnews.hk/listedco/listconews/sehk/ 2014/1208/LTN20141208847.pdf](http://www.hkexnews.hk/listedco/listconews/sehk/2014/1208/LTN20141208847.pdf)

Non-Voting

CMMT

PLEASE NOTE THAT SHAREHOLDERS ARE ALLOWED TO VOTE 'IN FAVOR' OR 'AGAINST' FOR-ALL RESOLUTIONS, ABSTAIN IS NOT A VOTING OPTION ON THIS MEETING

Non-Voting

1

TO APPROVE THE INCREASE IN AUTHORISED SHARE CAPITAL OF THE COMPANY FROM HKD 500,000,000 DIVIDED INTO 1,250,000,000 SHARES TO HKD 2,000,000,000 DIVIDED INTO 5,000,000,000 SHARES

Management

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For
For

2
TO APPROVE THE BONUS ISSUE OF SHARES ON THE BASIS OF ONE (1) BONUS SHARE FOR EVERY
ONE (1) EXISTING SHARE

Management
For
For

CMMT
12-DEC-2014: PLEASE NOTE THAT THIS IS A REVISION DUE TO CHANGE IN RECORD DATE-FROM
26-DEC-2014 TO 23-DEC-14. IF YOU HAVE ALREADY SENT IN YOUR VOTES, PLEASE-DO NOT VOTE
AGAIN UNLESS YOU DECIDE TO AMEND YOUR ORIGINAL INSTRUCTIONS. THANK-YOU.

Non-Voting

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
408,065
0
09-Dec-2014
23-Dec-2014
HAITONG SECURITIES CO LTD
Security

Y2988F101

Meeting Type
ExtraOrdinary General Meeting
Ticker Symbol

Meeting Date
30-Dec-2014

ISIN

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CNE1000019K9

Agenda
705698617 - Management
Record Date

28-Nov-2014

Holding Recon Date
28-Nov-2014

City /
Country

SHANGHA I
/
China

Vote Deadline Date
22-Dec-2014

SEDOL(s)

B71SXC4 - B8GNHM9 - BP3RVF4
Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- <http://www.hkexnews.hk/listedco/listconews/SEH K/2014/1111/LTN20141111669.pdf>-AND-
<http://www.hkexnews.hk/listedco/listconews/SEH K/2014/1111/LTN20141111683.pdf>

Non-Voting

O.1.1

ELECTION OF MR. WANG KAIGUO AS AN EXECUTIVE DIRECTOR OF THE COMPANY

Management

For
For

O.1.2

ELECTION OF MR. QU QIUPING AS AN EXECUTIVE DIRECTOR OF THE COMPANY

Management

For
For

O.1.3

ELECTION OF MR. ZHUANG GUOWEI AS A NON-EXECUTIVE DIRECTOR OF THE COMPANY

Management

For
For

O.1.4

ELECTION OF MR. CHEN BIN AS A NON- EXECUTIVE DIRECTOR OF THE COMPANY

Management

For
For

O.1.5

ELECTION OF MR. XU CHAO AS A NON- EXECUTIVE DIRECTOR OF THE COMPANY

Management

For
For

O.1.6

ELECTION OF MR. WANG HONGXIANG AS A NON-EXECUTIVE DIRECTOR OF THE COMPANY

Management

For

For

O.1.7

ELECTION OF MS. ZHANG XINMEI AS A NON- EXECUTIVE DIRECTOR OF THE COMPANY

Management

For

For

O.1.8

ELECTION MR. HE JIANYONG AS A NON- EXECUTIVE DIRECTOR OF THE COMPANY

Management

For

For

O.1.9

ELECTION OF MR. LIU CHEE MING AS AN INDEPENDENT NONEXECUTIVE DIRECTOR OF THE COMPANY

Management

For

For

O.110

ELECTION OF MR. XIAO SUINING AS AN INDEPENDENT NON-EXECUTIVE DIRECTOR OF THE COMPANY

Management

For

For

O.111

ELECTION OF MR. LI GUANGRONG AS AN INDEPENDENT NONEXECUTIVE DIRECTOR OF THE COMPANY

Management

For

For

O.112

ELECTION OF MR. LV CHANGJIANG AS AN INDEPENDENT NONEXECUTIVE DIRECTOR OF THE COMPANY

Management

For

For

O.113

ELECTION OF MR. FENG LUN AS AN INDEPENDENT NON-EXECUTIVE DIRECTOR OF THE COMPANY

Management

For

For

O.2.1

ELECTION OF MR. LI LIN AS A SHAREHOLDER REPRESENTATIVE SUPERVISOR OF THE COMPANY

Management

For

For

O.2.2

ELECTION OF MR. DONG XIAOCHUN AS A SHAREHOLDER REPRESENTATIVE SUPERVISOR OF THE COMPANY

Management

For

For

O.2.3

ELECTION OF MR. CHEN HUIFENG AS A SHAREHOLDER REPRESENTATIVE SUPERVISOR OF THE COMPANY

Management

For

For

O.2.4

ELECTION OF MR. CHENG FENG AS A SHAREHOLDER REPRESENTATIVE SUPERVISOR OF THE COMPANY

Management

For

For

O.2.5

ELECTION OF MR. XU QI AS A SHAREHOLDER REPRESENTATIVE SUPERVISOR OF THE COMPANY

Management

For

For

O.2.6

ELECTION OF MR. HU JINGWU AS A SHAREHOLDER REPRESENTATIVE SUPERVISOR OF THE COMPANY

Management

For
For

O.2.7

ELECTION OF MR. FENG HUANG AS A SHAREHOLDER REPRESENTATIVE SUPERVISOR OF THE COMPANY

Management
For
For

S.1

TO CONSIDER AND APPROVE THE PROPOSAL ON AMENDMENTS TO THE ARTICLES OF ASSOCIATIONS AND RULES AND PROCEDURES FOR GENERAL MEETINGS

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
224,000
0
12-Nov-2014
23-Dec-2014
BRASIL PHARMA SA
Security

P1815Q108

Meeting Type
ExtraOrdinary General Meeting
Ticker Symbol

Meeting Date
07-Jan-2015

ISIN

BRBPHAACNOR6

Agenda

705747434 - Management

Record Date

Holding Recon Date

05-Jan-2015

City /

Country

SAO PAULO

/

Brazil

Vote Deadline Date

29-Dec-2014

SEDOL(s)

B3Q1YB6 - B99P0H5

Quick Code

Item

Proposal

Proposed by

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Vote
For/Against Management

CMMT

IMPORTANT MARKET PROCESSING REQUIREMENT: A BENEFICIAL OWNER SIGNED POWER OF-ATTORNEY (POA) IS REQUIRED IN ORDER TO LODGE AND EXECUTE YOUR VOTING-INSTRUCTIONS IN THIS MARKET. ABSENCE OF A POA, MAY CAUSE YOUR INSTRUCTIONS TO-BE REJECTED. IF YOU HAVE ANY QUESTIONS, PLEASE CONTACT YOUR CLIENT SERVICE-REPRESENTATIVE

Non-Voting

CMMT

PLEASE NOTE THAT VOTES 'IN FAVOR' AND 'AGAINST' IN THE SAME AGENDA ITEM ARE- NOT ALLOWED. ONLY VOTES IN FAVOR AND/OR ABSTAIN OR AGAINST AND/ OR ABSTAIN-ARE ALLOWED. THANK YOU

Non-Voting

I

UPDATING THE AMOUNT OF THE SHARE CAPITAL OF THE COMPANY AND THE RESPECTIVE NUMBER OF SHARES THAT HAVE BEEN ISSUED, TO BRING ABOUT THE FULFILLMENT OF THE RESOLUTIONS THAT WERE APPROVED AT THE MEETINGS OF THE BOARD OF DIRECTORS OF THE COMPANY THAT WERE HELD ON MAY 6, 2014, AND JUNE 24, 2014, THROUGH WHICH WERE APPROVED AND RATIFIED, RESPECTIVELY, AN INCREASE IN THE SHARE CAPITAL OF THE COMPANY AND THE ISSUANCE OF NEW SHARES, WHICH WERE CARRIED OUT WITHIN THE AUTHORIZED CAPITAL LIMIT OF THE COMPANY, WITH THE CONSEQUENT AMENDMENT OF ARTICLE 5 OF THE CORPORATE BYLAWS OF THE COMPANY

Management
No Action

II

THE AMENDMENT OF PARAGRAPH 2 OF ARTICLE 6 OF THE CORPORATE BYLAWS OF THE COMPANY TO STATE THAT THE BOARD OF DIRECTORS OF THE COMPANY CAN GRANT STOCK PURCHASE OR SUBSCRIPTION OPTIONS FOR ITS SHARES TO ITS MANAGERS IN ACCORDANCE WITH THE TERMS OF THE STOCK OPTION PLAN THAT WAS PREVIOUSLY APPROVED BY THE GENERAL MEETING OF THE COMPANY, DIRECTLY OR AUTHORIZING A COMMITTEE

Management
No Action

CREATED IN ACCORDANCE WITH THE TERMS OF THE CORPORATE BYLAWS OF THE COMPANY FOR THAT PURPOSE, EXCEPT THROUGH THE ISSUANCE OF SHARES WITHIN THE AUTHORIZED CAPITAL, WHICH CANNOT BE DELEGATED TO A COMMITTEE

III

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THE RESTATEMENT OF THE CORPORATE BYLAWS OF THE COMPANY IN LIGHT OF THE
AMENDMENTS THAT ARE PROPOSED HERE

Management
No Action

IV
THE APPROVAL OF A NEW STOCK OPTION PLAN FOR SHARES ISSUED BY THE COMPANY, FROM
HERE ONWARDS REFERRED TO AS THE SECOND PLAN

Management
No Action

V
AUTHORIZATION FOR THE EXECUTIVE COMMITTEE TO DO ALL THE ACTS THAT ARE NECESSARY
TO CARRY OUT THE RESOLUTIONS THAT ARE DESCRIBED IN ITEMS I THROUGH IV ABOVE

Management
No Action

CMMT
29 DEC 2014: PLEASE NOTE THAT THIS IS A REVISION DUE TO POSTPONEMENT OF MEETIN-G DATE
FROM 26 DEC 2014 TO 07 JAN 2015. IF YOU HAVE ALREADY SENT IN YOUR VOTES-, PLEASE DO NOT
VOTE AGAIN UNLESS YOU DECIDE TO AMEND YOUR ORIGINAL INSTRUCTIO-NS. THANK YOU.

Non-Voting

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
135,374
0
12-Dec-2014
05-Jan-2015
MICRON TECHNOLOGY, INC.
Security

595112103

Table of Contents

Meeting Type
Annual
Ticker Symbol

MU

Meeting Date
22-Jan-2015

ISIN

US5951121038

Agenda
934108588 - Management
Record Date

21-Nov-2014

Holding Recon Date
21-Nov-2014

City /
Country

/
United States

Vote Deadline Date
21-Jan-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.1
ELECTION OF DIRECTOR: ROBERT L. BAILEY

Management
For
For

1.2
ELECTION OF DIRECTOR: RICHARD M. BEYER

Management
For
For

1.3
ELECTION OF DIRECTOR: PATRICK J. BYRNE

Management
For
For

1.4
ELECTION OF DIRECTOR: D. MARK DURCAN

Management
For
For

1.5
ELECTION OF DIRECTOR: D. WARREN A. EAST

Management
For
For

1.6

ELECTION OF DIRECTOR: MERCEDES JOHNSON

Management

For

For

1.7

ELECTION OF DIRECTOR: LAWRENCE N. MONDRY

Management

For

For

1.8

ELECTION OF DIRECTOR: ROBERT E. SWITZ

Management

For

For

2.

TO APPROVE AMENDED & RESTATED 2007 EQUITY INCENTIVE PLAN & INCREASE SHARES RESERVED FOR ISSUANCE THEREUNDER BY 30,000,000.

Management

For

For

3.

TO RATIFY THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM.

Management

For

For

4.

TO AMEND THE COMPANY'S RESTATED CERTIFICATE OF INCORPORATION TO ELIMINATE CUMULATIVE VOTING.

Management

For

For

5.

TO APPROVE THE MATERIAL TERMS OF THE PERFORMANCE GOALS UNDER THE COMPANY'S EXECUTIVE OFFICER PERFORMANCE INCENTIVE PLAN.

Management

For
For

6.
TO APPROVE A NON-BINDING RESOLUTION TO APPROVE THE COMPENSATION OF OUR NAMED
EXECUTIVE OFFICERS AS DESCRIBED IN THE PROXY STATEMENT.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
15,600
0
13-Dec-2014
13-Dec-2014
WESCO AIRCRAFT HOLDINGS, INC.
Security

950814103

Meeting Type
Annual
Ticker Symbol

WAIR

Meeting Date
27-Jan-2015

ISIN

US9508141036

Agenda
934109819 - Management

Table of Contents

Record Date

03-Dec-2014

Holding Recon Date

03-Dec-2014

City /
Country

/
United States

Vote Deadline Date

26-Jan-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
DAYNE A. BAIRD

For
For

2
JAY L. HABERLAND

For
For

3
JENNIFER M. POLLINO

For
For

2.
APPROVE, BY A NON-BINDING ADVISORY VOTE, THE COMPANY'S EXECUTIVE COMPENSATION.

Management
For
For

3.
APPROVE THE WESCO AIRCRAFT HOLDINGS, INC. 2014 INCENTIVE AWARD PLAN.

Management
For
For

4.
RATIFY THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLP AS OUR INDEPENDENT
REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2015.

Management
For
For

Account Number

Account Name

Internal Account

Table of Contents

Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
10,600
0
19-Dec-2014
19-Dec-2014
GOLUB CAPITAL BDC, INC.
Security

38173M102

Meeting Type
Annual
Ticker Symbol

GBDC

Meeting Date
03-Feb-2015

ISIN

US38173M1027

Agenda
934112703 - Management
Record Date

10-Dec-2014

Holding Recon Date
10-Dec-2014

City /
Country

/
United States

Vote Deadline Date
02-Feb-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.1
ELECTION OF TRUSTEE: KENNETH F. BERNSTEIN

Management
For
For

1.2
ELECTION OF TRUSTEE: JOHN T. BAILY

Management
For
For

2)

TO RATIFY THE SELECTION OF MCGLADREY LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2015.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

73,800

0

23-Dec-2014

23-Dec-2014

HAITONG SECURITIES CO LTD

Security

Y2988F101

Meeting Type

Class Meeting

Ticker Symbol

Meeting Date

09-Feb-2015

ISIN

CNE1000019K9

Agenda

705756914 - Management

Record Date

09-Jan-2015

Holding Recon Date

09-Jan-2015

Table of Contents

City /
Country

SHANGHAI
/
China

Vote Deadline Date
03-Feb-2015

SEDOL(s)

B71SXC4 - B8GNHM9 - BP3RVF4 - BTFRPB4
Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

CMMT
PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON
THE URL LINKS:- [HTTP://WWW.HKEXNEWS.HK/LISTEDCO/LIST](http://WWW.HKEXNEWS.HK/LISTEDCO/LIST)

CONEWS/SEHK/2014/1223/LTN20141223420.P DF-AND- [HTTP://WWW.HKEXNEWS.HK/LISTEDCO/LISTCNEWS/SEHK/2014/1223/LTN20141223438.P DF](http://www.hkexnews.hk/listedco/listcnews/sehk/2014/1223/LTN20141223438.P DF)

Non-Voting

1.1
TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
TYPE AND NOMINAL VALUE

Management
For
For

1.2
TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
ISSUE METHOD

Management
For
For

1.3
TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
ISSUE TARGETS

Management
For
For

1.4
TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
ISSUE SIZE

Management
For
For

1.5
TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
ISSUE PRICE

Management
For
For

1.6
TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
SUBSCRIPTION METHOD

Management
For

For

1.7

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
ACCUMULATED UNDISTRIBUTED PROFIT

Management

For

For

1.8

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
USE OF PROCEEDS

Management

For

For

1.9

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
VALIDITY PERIOD OF RESOLUTION

Management

For

For

1.10

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
AUTHORISATION FOR ISSUE OF NEW H SHARES

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

140,400

0
24-Dec-2014
04-Feb-2015
HAITONG SECURITIES CO LTD
Security

Y2988F101

Meeting Type
ExtraOrdinary General Meeting
Ticker Symbol

Meeting Date
09-Feb-2015

ISIN

CNE1000019K9

Agenda
705756926 - Management
Record Date

09-Jan-2015

Holding Recon Date
09-Jan-2015

City /
Country

SHANGHA I
/
China

Vote Deadline Date
03-Feb-2015

SEDOL(s)

B71SXC4 - B8GNHM9 - BP3RVF4 - BTFRPB4
Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- <http://www.hkexnews.hk/listedco/listconews/SEH K/2014/1223/LTN20141223351.pdf>-AND-
<http://www.hkexnews.hk/listedco/listconews/SEH K/2014/1223/LTN20141223375.pdf>

Non-Voting

S.1.1

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
TYPE AND NOMINAL VALUE

Management

For
For

S.1.2

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
ISSUE METHOD

Management

For
For

S.1.3

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
ISSUE TARGETS

Management
For
For

S.1.4

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
ISSUE SIZE

Management
For
For

S.1.5

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
ISSUE PRICE

Management
For
For

S.1.6

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
SUBSCRIPTION METHOD

Management
For
For

S.1.7

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
ACCUMULATED UNDISTRIBUTED PROFIT

Management
For
For

S.1.8

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
USE OF PROCEEDS

Management
For
For

S.1.9

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
VALIDITY PERIOD OF RESOLUTION

Management
For
For

S1.10

TO CONSIDER AND APPROVE THE PLAN TO ISSUE NEW H SHARES OF THE COMPANY, INCLUDING:
AUTHORISATION FOR ISSUE OF NEW H SHARES

Management

For

For

S.2

TO CONSIDER AND APPROVE THE PROPOSED AMENDMENTS TO THE ARTICLES OF ASSOCIATION OF
THE COMPANY

Management

For

For

S.3.1

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE
OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: TYPE

Management

For

For

S.3.2

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE
OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: TERM

Management

For

For

S.3.3

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE
OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: INTEREST RATE

Management

For

For

S.3.4

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE
OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: ISSUER, ISSUE SIZE AND ISSUE
METHOD

Management

For

For

S.3.5

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: ISSUE PRICE

Management

For

For

S.3.6

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: SECURITY AND OTHER CREDIT ENHANCEMENT ARRANGEMENTS

Management

For

For

S.3.7

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: USE OF PROCEEDS

Management

For

For

S.3.8

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: ISSUE TARGET AND ARRANGEMENTS ON PLACEMENT TO SHAREHOLDERS OF THE COMPANY

Management

For

For

S.3.9

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: GUARANTEE MEASURES FOR REPAYMENT

Management

For

For

S3.10

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: LISTING OF DEBT FINANCING INSTRUMENTS

Management

For

For

S3.11

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: VALIDITY PERIOD OF RESOLUTION

Management

For

For

S3.12

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE GENERAL MANDATE TO ISSUE OTHER ONSHORE DEBT FINANCING INSTRUMENTS, INCLUDING: AUTHORISATION FOR ISSUANCE OF OTHER ONSHORE DEBT FINANCING INSTRUMENTS OF THE COMPANY

Management

For

For

O.1

TO CONSIDER AND APPROVE THE REPORT ON USE OF PROCEEDS FROM PREVIOUS FUNDS RAISING ACTIVITY OF THE COMPANY

Management

For

For

O.2

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING THE INCREASE IN QUOTA OF EXTERNAL GUARANTEE OF THE COMPANY

Management

For

For

O.3

TO CONSIDER AND APPROVE THE PROPOSAL REGARDING INVESTMENT ASSET ALLOCATION OF EQUITY, FIXED INCOME SECURITIES AND DERIVATIVE PRODUCTS OF THE COMPANY FOR THE YEAR 2015

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Table of Contents

Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
140,400
0
24-Dec-2014
04-Feb-2015
VARIAN MEDICAL SYSTEMS, INC.
Security

92220P105

Meeting Type
Annual
Ticker Symbol

VAR

Meeting Date
12-Feb-2015

ISIN

US92220P1057

Agenda
934113248 - Management
Record Date

15-Dec-2014

Holding Recon Date
15-Dec-2014

City /
Country

/
United States

Vote Deadline Date
11-Feb-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
TIMOTHY E. GUERTIN

For
For

2
DAVID J. ILLINGWORTH

For
For

3
R. NAUMANN-ETIENNE

Table of Contents

For
For

2.
TO APPROVE THE COMPENSATION OF THE VARIAN MEDICAL SYSTEMS, INC. NAMED EXECUTIVE OFFICERS AS DESCRIBED IN THE PROXY STATEMENT.

Management
For
For

3.
TO RATIFY THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLP AS VARIAN MEDICAL SYSTEMS, INC.'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR FISCAL YEAR 2015.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL60
GLV MS PLEDGE
997AL60
STATE STREET BANK & TRUST CO
14,500
0
31-Dec-2014
31-Dec-2014
CITIC SECURITIES CO LTD
Security

Y1639N117

Meeting Type
Class Meeting
Ticker Symbol

Meeting Date
16-Feb-2015

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ISIN

CNE1000016V2

Agenda

705764125 - Management

Record Date

16-Jan-2015

Holding Recon Date

16-Jan-2015

City /

Country

BEIJING

/

China

Vote Deadline Date

05-Feb-2015

SEDOL(s)

B6SPB49 - B76VCF4 - B7WHGP4 - BP3RTD8

Quick Code

Item

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Proposal

Proposed by

Vote
For/Against Management

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- <http://www.hkexnews.hk/listedco/listconews/SEH K/2014/1230/LTN20141230448.pdf>-AND-
<http://www.hkexnews.hk/listedco/listconews/SEH K/2014/1230/LTN20141230437.pdf>

Non-Voting

1.1

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : CLASS OF SHARES TO BE ISSUED

Management

For
For

1.2

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : TIME OF ISSUANCE

Management

For
For

1.3

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : METHOD OF ISSUANCE

Management

For
For

1.4

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : TARGET PLACES

Management

For

For

1.5

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : PRICING MECHANISM

Management

For

For

1.6

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : METHOD OF SUBSCRIPTION

Management

For

For

1.7

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : SIZE OF ISSUANCE

Management

For

For

1.8

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : ACCUMULATED PROFITS

Management

For

For

1.9

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : USE OF PROCEEDS

Management

For

For

1.10

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : VALIDITY PERIOD OF THE RESOLUTIONS

Management

For

For

1.11

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : AUTHORIZATION OF THE CONSEQUENTIAL AMENDMENTS TO THE ARTICLES OF ASSOCIATION UPON COMPLETION OF THE PROPOSED NEW H SHARE ISSUE

Management

For

For

1.12

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE

Management

For

For

ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF H SHAREHOLDERS CLASS MEETING) : OTHER RELEVANT AUTHORIZATION TO THE BOARD AND THE PERSONS AUTHORIZED BY THE BOARD TO DEAL WITH ALL MATTERS RELATING TO THE PROPOSED NEW H SHARE ISSUE

CMMT

31 DEC 2014: PLEASE NOTE THAT THIS IS A REVISION DUE TO MODIFICATION TO TEXT O-F RESOLUTION 1.4. IF YOU HAVE ALREADY SENT IN YOUR VOTES, PLEASE DO NOT VOTE A-GAIN UNLESS YOU DECIDE TO AMEND YOUR ORIGINAL INSTRUCTIONS. THANK YOU

Non-Voting

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

219,500

0

31-Dec-2014

11-Feb-2015

CITIC SECURITIES CO LTD

Security

Y1639N117

Meeting Type

ExtraOrdinary General Meeting

Ticker Symbol

Meeting Date

16-Feb-2015

ISIN

CNE1000016V2

Agenda

705764187 - Management

Record Date

16-Jan-2015

Holding Recon Date

16-Jan-2015

City /

Country

BEIJING

/

China

Vote Deadline Date

05-Feb-2015

SEDOL(s)

B6SPB49 - B76VCF4 - B7WHGP4 - BP3RTD8

Quick Code

Item

Proposal

Proposed by

Vote

For/Against Management

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- [HTTP://WWW.HKEXNEWS.HK/LISTEDCO/LIST CONEWS/SEHK/2014/1230/LTN20141230410.P DF](http://www.hkexnews.hk/listedco/listconews/sehk/2014/1230/LTN20141230410.PDF)-AND- [HTTP://WWW.HKEXNEWS.HK/LISTEDCO/LIST CONEWS/SEHK/2014/1230/LTN20141230404.P DF](http://www.hkexnews.hk/listedco/listconews/sehk/2014/1230/LTN20141230404.PDF)

Non-Voting

1.1

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM); CLASS OF SHARES TO BE ISSUED

Management

For

For

1.2

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM); TIME OF ISSUANCE

Management

For

For

1.3

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM); METHOD OF ISSUANCE

Management

For

For

1.4

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM); TARGET PLACEEs

Management

For

For

1.5

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM): PRICING MECHANISM

Management

For

For

1.6

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM): METHOD OF SUBSCRIPTION

Management

For

For

1.7

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM): SIZE OF ISSUANCE

Management

For

For

1.8

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM): ACCUMULATED PROFITS

Management

For

For

1.9

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN

THE APPENDIX TO THE NOTICE OF EGM): USE OF PROCEEDS

Management

For

For

1.10

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM): VALIDITY PERIOD OF THE RESOLUTIONS

Management

For

For

1.11

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM): AUTHORIZATION OF THE CONSEQUENTIAL AMENDMENTS TO THE ARTICLES OF ASSOCIATION UPON COMPLETION OF THE PROPOSED NEW H SHARE ISSUE

Management

For

For

1.12

TO CONSIDER AND APPROVE THE FOLLOWING RESOLUTIONS ON THE SPECIFIC MANDATE FOR THE PROPOSED NEW H SHARE ISSUE AND LISTING OF NEW H SHARES ON THE HONG KONG STOCK EXCHANGE (RELEVANT DETAILS OF THE RESOLUTIONS ARE SET OUT IN THE PARAGRAPH HEADED "PROPOSED SPECIFIC MANDATE TO ISSUE NEW H SHARES" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM): OTHER RELEVANT AUTHORIZATION TO THE BOARD AND THE PERSONS AUTHORIZED BY THE BOARD TO DEAL WITH ALL MATTERS RELATING TO THE PROPOSED NEW H SHARE ISSUE

Management

For

For

2

TO CONSIDER AND APPROVE THE REPORT ON USE OF PROCEEDS FROM PREVIOUS FUNDS RAISING ACTIVITY OF THE COMPANY (RELEVANT DETAILS OF THIS RESOLUTION ARE SET OUT IN THE PARAGRAPH HEADED "REPORT ON USE OF PROCEEDS FROM PREVIOUS FUNDS RAISING ACTIVITY" IN THE ANNOUNCEMENT PRODUCED IN THE APPENDIX TO THE NOTICE OF EGM)

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

219,500

0

31-Dec-2014

11-Feb-2015

TRANSDIGM GROUP INCORPORATED

Security

893641100

Meeting Type

Annual

Ticker Symbol

TDG

Meeting Date

05-Mar-2015

ISIN

US8936411003

Agenda

934120712 - Management

Record Date

05-Jan-2015

Holding Recon Date

05-Jan-2015

City /

Country

/
United States

Vote Deadline Date
04-Mar-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
WILLIAM DRIES

For

Table of Contents

For

2

W. NICHOLAS HOWLEY

For

For

3

RAYMOND LAUBENTHAL

For

For

4

ROBERT SMALL

For

For

2.

TO APPROVE (IN AN ADVISORY VOTE) COMPENSATION PAID TO THE COMPANY'S NAMED EXECUTIVE OFFICERS.

Management

For

For

3.

TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS THE COMPANY'S INDEPENDENT ACCOUNTANTS FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2015.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

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STATE STREET BANK & TRUST CO

3,100

0

24-Jan-2015

24-Jan-2015

ACTAVIS PLC

Security

G0083B108

Meeting Type

Special

Ticker Symbol

ACT

Meeting Date

10-Mar-2015

ISIN

IE00BD1NQJ95

Agenda

934122499 - Management

Record Date

22-Jan-2015

Holding Recon Date

22-Jan-2015

City /

Country

/

United States

Vote Deadline Date

09-Mar-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
APPROVING THE ISSUANCE OF ORDINARY SHARES PURSUANT TO THE AGREEMENT AND PLAN OF MERGER, DATED NOVEMBER 16, 2014, AMONG ACTAVIS PLC ("ACTAVIS"), AVOCADO ACQUISITION INC. AND ALLERGAN, INC. (THE "ACTAVIS SHARE ISSUANCE PROPOSAL").

Management
For
For

2.
APPROVING ANY MOTION TO ADJOURN THE ACTAVIS EXTRAORDINARY GENERAL MEETING (THE "ACTAVIS EGM"), OR ANY ADJOURNMENTS THEREOF, TO ANOTHER TIME OR PLACE IF NECESSARY OR APPROPRIATE TO, AMONG OTHER THINGS, SOLICIT ADDITIONAL PROXIES IF THERE ARE INSUFFICIENT VOTES AT THE TIME OF THE ACTAVIS EGM TO APPROVE THE ACTAVIS SHARE ISSUANCE PROPOSAL.

Management
For
For

Account Number

Account Name

Internal Account

Table of Contents

Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
1,500
0
30-Jan-2015
30-Jan-2015
997AL60
GLV MS PLEDGE
997AL60
STATE STREET BANK & TRUST CO
5,400
0
30-Jan-2015
30-Jan-2015
SPANSION INC.
Security

84649R200

Meeting Type
Special
Ticker Symbol

CODE

Meeting Date
12-Mar-2015

ISIN

US84649R2004

Agenda
934125902 - Management
Record Date

05-Feb-2015

Holding Recon Date
05-Feb-2015

City /

Table of Contents

Country

/

United States

Vote Deadline Date

11-Mar-2015

SEDOL(s)

Quick Code

Item

Proposal

Proposed by

Vote

For/Against Management

1.

TO ADOPT THE AGREEMENT AND PLAN OF MERGER AND REORGANIZATION, DATED AS OF DECEMBER 1, 2014 (THE "MERGER AGREEMENT"), BY AND AMONG SPANSION INC., CYPRESS SEMICONDUCTOR CORPORATION AND MUSTANG ACQUISITION CORPORATION, AND APPROVE THE TRANSACTIONS CONTEMPLATED BY THE MERGER AGREEMENT.

Management

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For
For

2.
TO APPROVE ON AN ADVISORY (NON- BINDING) BASIS THE COMPENSATION THAT MAY BE PAID OR
BECOME PAYABLE TO SPANSION INC. NAMED EXECUTIVE OFFICERS THAT IS BASED ON OR
OTHERWISE RELATES TO THE MERGER AGREEMENT AND MERGER.

Management
For
For

3.
TO APPROVE THE ADJOURNMENT OF THE SPANSION INC. SPECIAL MEETING, IF NECESSARY OR
APPROPRIATE, TO SOLICIT ADDITIONAL PROXIES IF THERE ARE NOT SUFFICIENT VOTES TO ADOPT
THE MERGER AGREEMENT AND APPROVE THE TRANSACTIONS CONTEMPLATED BY THE MERGER
AGREEMENT.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
15,000
0
11-Feb-2015
11-Feb-2015
997AL60
GLV MS PLEDGE
997AL60
STATE STREET BANK & TRUST CO
36,000
0
11-Feb-2015
11-Feb-2015
SAMSUNG ELECTRONICS CO LTD, SUWON

Security

Y74718100

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

13-Mar-2015

ISIN

KR7005930003

Agenda

705825137 - Management

Record Date

31-Dec-2014

Holding Recon Date

31-Dec-2014

City /

Country

SEOUL

/

Korea, Republic Of

Vote Deadline Date

03-Mar-2015

SEDOL(s)

6771720 - B19VC15

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1
APPROVAL OF FINANCIAL STATEMENTS

Management
For
For

2.1.1
ELECTION OF OUTSIDE DIRECTOR GIM HAN JUNG

Management
For
For

2.1.2
ELECTION OF OUTSIDE DIRECTOR I BYEONG GI

Management
For
For

2.2
ELECTION OF INSIDE DIRECTOR GWON O HYEON

Management
For
For

2.3
ELECTION OF AUDIT COMMITTEE MEMBER GIM HAN JUNG

Management
For
For

3
APPROVAL OF REMUNERATION FOR DIRECTOR

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
1,114
0
14-Feb-2015
05-Mar-2015
SUNTORY BEVERAGE & FOOD LIMITED
Security

J78186103

Meeting Type
Annual General Meeting
Ticker Symbol

Meeting Date
27-Mar-2015

ISIN

JP3336560002

Agenda
705863783 - Management
Record Date

31-Dec-2014

Holding Recon Date

31-Dec-2014

City /

Country

TOKYO

/

Japan

Vote Deadline Date

11-Mar-2015

SEDOL(s)

BBD7Q84 - BBT3GD1 - BLRLZP2

Quick Code

25870

Item

Proposal

Proposed by

Vote

For/Against Management

Please reference meeting materials.

Non-Voting

1

Approve Appropriation of Surplus

Management

For

For

2.1

Appoint a Director Torii, Nobuhiro

Management

For

For

2.2

Appoint a Director Kakimi, Yoshihiko

Management

For

For

2.3

Appoint a Director Kogo, Saburo

Management

For

For

2.4

Appoint a Director Kurihara, Nobuhiro

Management

For

For

2.5

Appoint a Director Tsuchida, Masato

Management

For

For

2.6

Appoint a Director Kamada, Yasuhiko

Table of Contents

Management

For

For

2.7

Appoint a Director Hizuka, Shinichiro

Management

For

For

2.8

Appoint a Director Inoue, Yukari

Management

For

For

3

Amend Articles to: Transition to a Company with Supervisory Committee, Adopt Reduction of Liability System for Non-Executive Directors

Management

For

For

4.1

Appoint a Director except as Supervisory Committee Members Torii, Nobuhiro

Management

For

For

4.2

Appoint a Director except as Supervisory Committee Members Kakimi, Yoshihiko

Management

For

For

4.3

Appoint a Director except as Supervisory Committee Members Kogo, Saburo

Management

For

For

4.4

Appoint a Director except as Supervisory Committee Members Kurihara, Nobuhiro

Management

For

For

4.5

Appoint a Director except as Supervisory Committee Members Tsuchida, Masato

Management

For

For

4.6

Appoint a Director except as Supervisory Committee Members Kamada, Yasuhiko

Management

For

For

4.7

Appoint a Director except as Supervisory Committee Members Hizuka, Shinichiro

Management

For

For

4.8

Appoint a Director except as Supervisory Committee Members Inoue, Yukari

Management

For

For

5.1

Appoint a Director as Supervisory Committee Members Hattori, Seiichiro

Management

For

For

5.2

Appoint a Director as Supervisory Committee Members Uehara, Yukihiro

Management

For

For

5.3

Appoint a Director as Supervisory Committee Members Uchida, Harumichi

Management

For

For

6

Appoint a Substitute Director as Supervisory Committee Members Amitani, Mitsuhiro

Management

For

For

7

Amend the Compensation to be received by Directors except as Supervisory Committee Members

Management

For

For

8

Amend the Compensation to be received by Directors as Supervisory Committee Members

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

10,600

0

05-Mar-2015

05-Mar-2015

APPLIED MATERIALS, INC.

Security

038222105

Meeting Type

Annual

Ticker Symbol

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AMAT

Meeting Date
02-Apr-2015

ISIN

US0382221051

Agenda
934127108 - Management
Record Date

11-Feb-2015

Holding Recon Date
11-Feb-2015

City /
Country

/
United States

Vote Deadline Date
01-Apr-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: AART J. DE GEUS

Management
For
For

1B.
ELECTION OF DIRECTOR: GARY E. DICKERSON

Management
For
For

1C.
ELECTION OF DIRECTOR: STEPHEN R. FORREST

Management
For
For

1D.
ELECTION OF DIRECTOR: THOMAS J. IANNOTTI

Management
For
For

1E.
ELECTION OF DIRECTOR: SUSAN M. JAMES

Management
For
For

1F.
ELECTION OF DIRECTOR: ALEXANDER A. KARSNER

Management
For
For

1G.
ELECTION OF DIRECTOR: DENNIS D. POWELL

Management
For
For

1H.
ELECTION OF DIRECTOR: WILLEM P. ROELANDTS

Management
For
For

1I.
ELECTION OF DIRECTOR: MICHAEL R. SPLINTER

Management
For
For

1J.
ELECTION OF DIRECTOR: ROBERT H. SWAN

Management
For
For

2.
TO APPROVE, ON AN ADVISORY BASIS, THE COMPENSATION OF APPLIED MATERIALS' NAMED
EXECUTIVE OFFICERS.

Management
For
For

3.
TO RATIFY THE APPOINTMENT OF KPMG LLP AS APPLIED MATERIALS' INDEPENDENT REGISTERED
PUBLIC ACCOUNTING FIRM FOR FISCAL YEAR 2015.

Management
For
For

Account Number

Account Name

Table of Contents

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
7,700
0
19-Feb-2015
19-Feb-2015
LENNAR CORPORATION
Security

526057104

Meeting Type
Annual
Ticker Symbol

LEN

Meeting Date
08-Apr-2015

ISIN

US5260571048

Agenda
934127879 - Management
Record Date

12-Feb-2015

Holding Recon Date
12-Feb-2015

City /
Country

/
United States

Vote Deadline Date

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07-Apr-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
IRVING BOLOTIN

For
For

2
STEVEN L. GERARD

Table of Contents

For
For

3
THERON I. "TIG" GILLIAM

For
For

4
SHERRILL W. HUDSON

For
For

5
SIDNEY LAPIDUS

For
For

6
TERI P. MCCLURE

For
For

7
STUART A. MILLER

For
For

8
ARMANDO OLIVERA

For
For

9
JEFFREY SONNENFELD

For
For

2.
RATIFICATION OF THE APPOINTMENT OF DELOITTE & TOUCHE LLP AS LENNAR'S INDEPENDENT
REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING NOVEMBER 30, 2015.

Management

For
For

3.
APPROVAL, ON AN ADVISORY BASIS, OF THE COMPENSATION OF LENNAR'S NAMED EXECUTIVE OFFICERS.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
5,200
0
25-Feb-2015
25-Feb-2015
GEA GROUP AG, BOCHUM
Security

D28304109

Meeting Type
Annual General Meeting
Ticker Symbol

Meeting Date
16-Apr-2015

ISIN

DE0006602006

Agenda
705882579 - Management
Record Date

25-Mar-2015

Holding Recon Date

25-Mar-2015

City /

Country

OBERHAU SEN

/

Germany

Vote Deadline Date

31-Mar-2015

SEDOL(s)

4557104 - B02NSV3 - B28HB58 - BHZLGS6

Quick Code

Item

Proposal

Proposed by

Vote

For/Against Management

ACCORDING TO GERMAN LAW, IN CASE OF SPECIFIC CONFLICTS OF INTEREST IN CONNECTION WITH SPECIFIC ITEMS OF THE AGENDA FOR THE GENERAL MEETING YOU ARE NOT ENTITLED TO EXERCISE YOUR VOTING RIGHTS. FURTHER, YOUR VOTING RIGHT MIGHT BE EXCLUDED WHEN YOUR SHARE IN VOTING RIGHTS HAS REACHED CERTAIN THRESHOLDS AND YOU HAVE NOT COMPLIED WITH ANY OF YOUR MANDATORY VOTING RIGHTS NOTIFICATIONS PURSUANT TO THE GERMAN SECURITIES TRADING ACT (WHPG). FOR QUESTIONS IN THIS REGARD PLEASE CONTACT YOUR CLIENT SERVICE REPRESENTATIVE FOR CLARIFICATION. IF YOU DO NOT HAVE ANY INDICATION REGARDING SUCH CONFLICT OF INTEREST, OR ANOTHER EXCLUSION FROM VOTING, PLEASE SUBMIT YOUR VOTE AS USUAL. THANK YOU.

Non-Voting

PLEASE NOTE THAT THE TRUE RECORD DATE FOR THIS MEETING IS 26 MAR 2015, WHEREAS THE MEETING HAS BEEN SETUP USING THE ACTUAL RECORD DATE-1 BUSINESS DAY. THIS IS DONE TO ENSURE THAT ALL POSITIONS REPORTED ARE IN CONCURRENCE WITH THE GERMAN LAW. THANK YOU.

Non-Voting

COUNTER PROPOSALS MAY BE SUBMITTED UNTIL 01 APR 2015. FURTHER INFORMATION ON COUNTER PROPOSALS CAN BE FOUND DIRECTLY ON THE ISSUER'S WEBSITE (PLEASE REFER TO THE MATERIAL URL SECTION OF THE APPLICATION). IF YOU WISH TO ACT ON THESE ITEMS, YOU WILL NEED TO REQUEST A MEETING ATTEND AND VOTE YOUR SHARES DIRECTLY AT THE COMPANY'S MEETING. COUNTER PROPOSALS CANNOT BE REFLECTED IN THE BALLOT ON PROXYEDGE.

Non-Voting

1.
PRESENTATION OF THE ADOPTED ANNUAL FINANCIAL STATEMENTS OF GEA GROUP AKTIENGESSELLSCHAFT AND OF THE APPROVED CONSOLIDATED FINANCIAL STATEMENTS AS OF DECEMBER-31, 2014, OF THE GROUP MANAGEMENT REPORT COMBINED WITH THE MANAGEMENT

Non-Voting

REPORT OF GEA GROUP AKTIENGESSELLSCHAFT FOR THE FISCAL YEAR 2014 INCLUDING THE EXPLANATORY REPORT OF THE EXECUTIVE BOARD ON THE INFORMATION PROVIDED IN ACCORDANCE WITH S. 289 PARA. 4 AND PARA. 5, S. 315 PARA. 2 NO. 5 AND PARA. 4 HGB (GERMAN COMMERCIAL CODE) AS WELL AS THE REPORT OF THE SUPERVISORY BOARD FOR THE FISCAL-YEAR 2014

2.
APPROPRIATION OF NET EARNINGS: PAYMENT OF A DIVIDEND OF EUR 0.70 PER NO-PAR SHARE

Management

For

For

3.

RATIFICATION OF THE ACTS OF THE MEMBERS OF THE EXECUTIVE BOARD IN THE FISCAL YEAR 2014

Management

For

For

4.

RATIFICATION OF THE ACTS OF THE MEMBERS OF THE SUPERVISORY BOARD IN THE FISCAL YEAR 2014

Management

For

For

5.

ELECTION OF THE AUDITOR FOR THE FISCAL YEAR 2015: KPMG AG
WIRTSCHAFTSPRÜFUNGSGESELLSCHAFT, BERLIN

Management

For

For

6.

CANCELLATION OF AUTHORIZED CAPITAL II IN ACCORDANCE WITH S. 4 PARA. 4 OF THE ARTICLES OF ASSOCIATION, CREATION OF A NEW AUTHORIZED CAPITAL II AND AUTHORIZATION TO DECIDE ON THE EXCLUSION OF SHAREHOLDERS' SUBSCRIPTION RIGHTS, AND THE CORRESPONDING AMENDMENT TO S. 4 PARA. 4 OF THE ARTICLES OF ASSOCIATION

Management

For

For

7.

CREATION OF A NEW AUTHORIZED CAPITAL III GRANTING AUTHORIZATION TO EXCLUDE SHAREHOLDERS' SUBSCRIPTION RIGHTS AND CORRESPONDING AMENDMENT TO THE ARTICLES OF ASSOCIATION

Management

For

For

8.

RESOLUTION ON THE AUTHORIZATION TO ISSUE CONVERTIBLE OR WARRANT BONDS, PROFIT PARTICIPATION RIGHTS OR INCOME BONDS, THE CREATION OF CONTINGENT CAPITAL AS WELL AS THE RESPECTIVE AMENDMENT TO THE ARTICLES OF ASSOCIATION WHILE SIMULTANEOUSLY CANCELLING THE RESPECTIVE AUTHORIZATION GIVEN IN 2010 AND THE CONTINGENT CAPITAL IN ACCORDANCE WITH S. 4 PARA. 5 OF THE ARTICLES OF ASSOCIATION

Management

For

For

9.

AUTHORIZATION TO ACQUIRE AND USE TREASURY STOCK AS WELL AS EXCLUSION OF THE RIGHT TO TENDER AND OF THE SUBSCRIPTION RIGHT

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

32,615

0

11-Mar-2015

08-Apr-2015

OWENS CORNING

Security

690742101

Meeting Type

Annual

Ticker Symbol

OC

Meeting Date

16-Apr-2015

ISIN

US6907421019

Agenda

934137666 - Management

Record Date

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25-Feb-2015

Holding Recon Date

25-Feb-2015

City /

Country

/

United States

Vote Deadline Date

15-Apr-2015

SEDOL(s)

Quick Code

Item

Proposal

Proposed by

Vote

For/Against Management

1.
DIRECTOR

Management

1
JAMES J. MCMONAGLE

For
For

2
W. HOWARD MORRIS

For
For

3
SUZANNE P. NIMOCKS

For
For

2.
TO RATIFY THE SELECTION OF PRICEWATERHOUSECOOPERS LLP AS OUR INDEPENDENT
REGISTERED PUBLIC ACCOUNTING FIRM FOR 2015.

Management
For
For

3.
TO APPROVE, ON AN ADVISORY BASIS, 2014 NAMED EXECUTIVE OFFICER COMPENSATION.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27

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GLV
997AL27
STATE STREET BANK & TRUST CO
2,700
0
13-Mar-2015
13-Mar-2015
STARWOOD PROPERTY TRUST INC
Security

85571B105

Meeting Type
Annual
Ticker Symbol

STWD

Meeting Date
21-Apr-2015

ISIN

US85571B1052

Agenda
934157620 - Management
Record Date

03-Mar-2015

Holding Recon Date
03-Mar-2015

City /
Country

/
United States

Vote Deadline Date
20-Apr-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
RICHARD D. BRONSON

For
For

2
JEFFREY G. DISHNER

For
For

3
CAMILLE J. DOUGLAS

For
For

4

SOLOMON J. KUMIN

For

For

5

BARRY S. STERNLICHT

For

For

6

STRAUSS ZELNICK

For

For

2.

TO APPROVE, ON AN ADVISORY BASIS, THE COMPANY'S EXECUTIVE COMPENSATION AS DISCLOSED IN THE ACCOMPANYING PROXY STATEMENT.

Management

For

For

3.

TO RATIFY THE AUDIT COMMITTEE'S APPOINTMENT OF DELOITTE & TOUCHE LLP AS STARWOOD PROPERTY TRUST, INC.'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE CALENDAR YEAR ENDING DECEMBER 31, 2015.

Management

For

For

4.

THE STOCKHOLDER PROPOSAL REGARDING AN INDEPENDENT CHAIRMAN OF THE BOARD OF DIRECTORS AS DISCLOSED IN THE ACCOMPANYING PROXY STATEMENT.

Shareholder

Against

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

28,200

0

28-Mar-2015

28-Mar-2015

MGIC INVESTMENT CORPORATION

Security

552848103

Meeting Type

Annual

Ticker Symbol

MTG

Meeting Date

23-Apr-2015

ISIN

US5528481030

Agenda

934149849 - Management

Record Date

02-Mar-2015

Holding Recon Date

02-Mar-2015

City /

Country

/

United States

Vote Deadline Date

22-Apr-2015

SEDOL(s)

Quick Code

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Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
DANIEL A. ARRIGONI

For
For

2
CASSANDRA C. CARR

For
For

3

C. EDWARD CHAPLIN

For

For

4

CURT S. CULVER

For

For

5

TIMOTHY A. HOLT

For

For

6

KENNETH M. JASTROW, II

For

For

7

MICHAEL E. LEHMAN

For

For

8

DONALD T. NICOLAISEN

For

For

9

GARY A. POLINER

For

For

10

PATRICK SINKS

For

For

11

MARK M. ZANDI

For

For

2.
ADVISORY VOTE TO APPROVE NAMED EXECUTIVE OFFICER COMPENSATION

Management

For

For

3.
APPROVE OUR 2015 OMNIBUS INCENTIVE PLAN

Management

For

For

4.
RATIFICATION OF THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLP AS OUR INDEPENDENT
REGISTERED PUBLIC ACCOUNTING FIRM FOR 2015

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

12,000

0

24-Mar-2015

24-Mar-2015

SELECT MEDICAL HOLDINGS CORP.

Security

81619Q105

Meeting Type

Annual

Table of Contents

Ticker Symbol

SEM

Meeting Date

27-Apr-2015

ISIN

US81619Q1058

Agenda

934139026 - Management

Record Date

02-Mar-2015

Holding Recon Date

02-Mar-2015

City /

Country

/

United States

Vote Deadline Date

24-Apr-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
JAMES E. DALTON, JR.

For
For

2
ROCCO A. ORTENZIO

For
For

3
THOMAS A. SCULLY

For
For

2.
ADVISORY VOTE ON EXECUTIVE COMPENSATION

Management
For
For

3.
VOTE TO RATIFY THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLC AS THE COMPANY'S
INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER
31, 2015

Management
For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

25,200

0

12-Mar-2015

12-Mar-2015

KIRBY CORPORATION

Security

497266106

Meeting Type

Annual

Ticker Symbol

KEX

Meeting Date

28-Apr-2015

ISIN

US4972661064

Agenda

934149863 - Management

Record Date

02-Mar-2015

Holding Recon Date

02-Mar-2015

City /

Country

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United States

Vote Deadline Date
27-Apr-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.1
ELECTION OF DIRECTOR: BARRY E. DAVIS

Management
For
For

1.2

Table of Contents

ELECTION OF DIRECTOR: MONTE J. MILLER

Management

For

For

1.3

ELECTION OF DIRECTOR: JOSEPH H. PYNE

Management

For

For

2.

REAPPROVAL OF THE MATERIAL TERMS OF THE PERFORMANCE OBJECTIVES UNDER KIRBY'S 2005 STOCK AND INCENTIVE PLAN.

Management

For

For

3.

RATIFICATION OF THE SELECTION OF KPMG LLP AS KIRBY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR 2015.

Management

For

For

4.

ADVISORY VOTE ON THE APPROVAL OF THE COMPENSATION OF KIRBY'S NAMED EXECUTIVE OFFICERS.

Management

For

For

5.

THE PROXIES ARE AUTHORIZED TO VOTE IN THEIR DISCRETION UPON SUCH OTHER BUSINESS AS MAY PROPERLY COME BEFORE THE MEETING.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

5,400

0

24-Mar-2015

24-Mar-2015

VALERO ENERGY CORPORATION

Security

91913Y100

Meeting Type

Annual

Ticker Symbol

VLO

Meeting Date

30-Apr-2015

ISIN

US91913Y1001

Agenda

934139165 - Management

Record Date

03-Mar-2015

Holding Recon Date

03-Mar-2015

City /

Country

/

United States

Vote Deadline Date

29-Apr-2015

SEDOL(s)

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Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: JERRY D. CHOATE

Management
For
For

1B.
ELECTION OF DIRECTOR: JOSEPH W. GORDER

Management
For
For

1C.
ELECTION OF DIRECTOR: DEBORAH P. MAJORAS

Table of Contents

Management
For
For

1D.
ELECTION OF DIRECTOR: DONALD L. NICKLES

Management
For
For

1E.
ELECTION OF DIRECTOR: PHILIP J. PFEIFFER

Management
For
For

1F.
ELECTION OF DIRECTOR: ROBERT A. PROFUSEK

Management
For
For

1G.
ELECTION OF DIRECTOR: SUSAN KAUFMAN PURCELL

Management
For
For

1H.
ELECTION OF DIRECTOR: STEPHEN M. WATERS

Management
For
For

1I.
ELECTION OF DIRECTOR: RANDALL J. WEISENBURGER

Management
For
For

1J.
ELECTION OF DIRECTOR: RAYFORD WILKINS, JR.

Management

For
For

2.
RATIFY THE APPOINTMENT OF KPMG LLP AS VALERO ENERGY'S INDEPENDENT REGISTERED
PUBLIC ACCOUNTING FIRM FOR 2015.

Management
For
For

3.
APPROVE, BY NON-BINDING VOTE, THE 2014 COMPENSATION OF OUR NAMED EXECUTIVE
OFFICERS.

Management
For
For

4.
VOTE ON A STOCKHOLDER PROPOSAL ENTITLED, "GREENHOUSE GAS EMISSIONS."

Shareholder
Against
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
11,200
0
21-Mar-2015
21-Mar-2015
HCA HOLDINGS, INC.
Security

40412C101

Meeting Type
Annual
Ticker Symbol

HCA

Meeting Date
30-Apr-2015

ISIN

US40412C1018

Agenda
934141312 - Management
Record Date

06-Mar-2015

Holding Recon Date
06-Mar-2015

City /
Country

/
United States

Vote Deadline Date
29-Apr-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
R. MILTON JOHNSON

For
For

2
ROBERT J. DENNIS

For
For

3
NANCY-ANN DEPARLE

For
For

4
THOMAS F. FRIST III

For
For

5
WILLIAM R. FRIST

For
For

6

ANN H. LAMONT

For

For

7

JAY O. LIGHT

For

For

8

GEOFFREY G. MEYERS

For

For

9

MICHAEL W. MICHELSON

For

For

10

WAYNE J. RILEY, M.D.

For

For

11

JOHN W. ROWE, M.D.

For

For

2.

TO RATIFY THE APPOINTMENT OF ERNST & YOUNG LLP AS OUR INDEPENDENT REGISTERED
PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2015

Management

For

For

3.

ADVISORY VOTE TO APPROVE NAMED EXECUTIVE OFFICER COMPENSATION

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

1,400

0

20-Mar-2015

20-Mar-2015

EMC CORPORATION

Security

268648102

Meeting Type

Annual

Ticker Symbol

EMC

Meeting Date

30-Apr-2015

ISIN

US2686481027

Agenda

934146867 - Management

Record Date

27-Feb-2015

Holding Recon Date

27-Feb-2015

City /

Country

/

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United States

Vote Deadline Date
29-Apr-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: JOSE E. ALMEIDA

Management
For
For

1B.
ELECTION OF DIRECTOR: MICHAEL W. BROWN

Management

For

For

1C.

ELECTION OF DIRECTOR: DONALD J. CARTY

Management

For

For

1D.

ELECTION OF DIRECTOR: RANDOLPH L. COWEN

Management

For

For

1E.

ELECTION OF DIRECTOR: JAMES S. DISTASIO

Management

For

For

1F.

ELECTION OF DIRECTOR: JOHN R. EGAN

Management

For

For

1G.

ELECTION OF DIRECTOR: WILLIAM D. GREEN

Management

For

For

1H.

ELECTION OF DIRECTOR: EDMUND F. KELLY

Management

For

For

1I.

ELECTION OF DIRECTOR: JAMI MISCIK

Management

For

For

1J.
ELECTION OF DIRECTOR: PAUL SAGAN

Management

For

For

1K.
ELECTION OF DIRECTOR: DAVID N. STROHM

Management

For

For

1L.
ELECTION OF DIRECTOR: JOSEPH M. TUCCI

Management

For

For

2.
RATIFICATION OF THE SELECTION BY THE AUDIT COMMITTEE OF PRICEWATERHOUSECOOPERS
LLP AS EMC'S INDEPENDENT AUDITORS FOR THE FISCAL YEAR ENDING DECEMBER 31, 2015, AS
DESCRIBED IN EMC'S PROXY STATEMENT.

Management

For

For

3.
ADVISORY APPROVAL OF OUR EXECUTIVE COMPENSATION, AS DESCRIBED IN EMC'S PROXY
STATEMENT.

Management

For

For

4.
APPROVAL OF THE EMC CORPORATION AMENDED AND RESTATED 2003 STOCK PLAN, AS
DESCRIBED IN EMC'S PROXY STATEMENT.

Management

For

For

5.
TO ACT UPON A SHAREHOLDER PROPOSAL RELATING TO AN INDEPENDENT BOARD CHAIRMAN, AS
DESCRIBED IN EMC'S PROXY STATEMENT.

Shareholder
Against
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
38,900
0
21-Mar-2015
21-Mar-2015
PHILLIPS 66
Security

718546104

Meeting Type
Annual
Ticker Symbol

PSX

Meeting Date
06-May-2015

ISIN

US7185461040

Agenda
934145485 - Management
Record Date

13-Mar-2015

Holding Recon Date
13-Mar-2015

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City /
Country

/
United States

Vote Deadline Date
05-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: J. BRIAN FERGUSON

Management
For

Table of Contents

For

1B.
ELECTION OF DIRECTOR: HAROLD W. MCGRAW III

Management

For

For

1C.
ELECTION OF DIRECTOR: VICTORIA J. TSCHINKEL

Management

For

For

2.
TO RATIFY THE APPOINTMENT OF ERNST & YOUNG LLP AS THE COMPANY'S INDEPENDENT
REGISTERED PUBLIC ACCOUNTING FIRM FOR FISCAL YEAR 2015.

Management

For

For

3.
TO CONSIDER AND VOTE ON A PROPOSAL TO APPROVE, ON AN ADVISORY (NON- BINDING) BASIS,
THE COMPENSATION OF OUR NAMED EXECUTIVE OFFICERS.

Management

For

For

4.
TO CONSIDER AND VOTE ON A MANAGEMENT PROPOSAL REGARDING THE ANNUAL ELECTION OF
DIRECTORS.

Management

For

For

5.
TO CONSIDER AND VOTE ON A SHAREHOLDER PROPOSAL REGARDING GREENHOUSE GAS
REDUCTION GOALS.

Shareholder

Against

For

Account Number

Account Name

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Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
10,100
0
26-Mar-2015
26-Mar-2015
GILEAD SCIENCES, INC.
Security

375558103

Meeting Type
Annual
Ticker Symbol

GILD

Meeting Date
06-May-2015

ISIN

US3755581036

Agenda
934149685 - Management
Record Date

11-Mar-2015

Holding Recon Date
11-Mar-2015

City /
Country

/
United States

Vote Deadline Date

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05-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: JOHN F. COGAN

Management
For
For

1B.
ELECTION OF DIRECTOR: ETIENNE F. DAVIGNON

Management
For
For

Table of Contents

1C.
ELECTION OF DIRECTOR: CARLA A. HILLS

Management

For

For

1D.
ELECTION OF DIRECTOR: KEVIN E. LOFTON

Management

For

For

1E.
ELECTION OF DIRECTOR: JOHN W. MADIGAN

Management

For

For

1F.
ELECTION OF DIRECTOR: JOHN C. MARTIN

Management

For

For

1G.
ELECTION OF DIRECTOR: NICHOLAS G. MOORE

Management

For

For

1H.
ELECTION OF DIRECTOR: RICHARD J. WHITLEY

Management

For

For

1I.
ELECTION OF DIRECTOR: GAYLE E. WILSON

Management

For

For

1J.

ELECTION OF DIRECTOR: PER WOLD-OLSEN

Management

For

For

2.

TO RATIFY THE SELECTION OF ERNST & YOUNG LLP BY THE AUDIT COMMITTEE OF THE BOARD OF DIRECTORS AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM OF GILEAD FOR THE FISCAL YEAR ENDING DECEMBER 31, 2015.

Management

For

For

3.

TO APPROVE AN AMENDMENT AND RESTATEMENT TO GILEAD'S EMPLOYEE STOCK PURCHASE PLAN AND INTERNATIONAL EMPLOYEE STOCK PURCHASE PLAN.

Management

For

For

4.

TO APPROVE, ON AN ADVISORY BASIS, THE COMPENSATION OF OUR NAMED EXECUTIVE OFFICERS AS PRESENTED IN THE PROXY STATEMENT.

Management

For

For

5.

TO VOTE ON A STOCKHOLDER PROPOSAL, IF PROPERLY PRESENTED AT THE MEETING, REQUESTING THAT THE BOARD TAKE STEPS TO PERMIT STOCKHOLDER ACTION BY WRITTEN CONSENT.

Shareholder

Against

For

6.

TO VOTE ON A STOCKHOLDER PROPOSAL, IF PROPERLY PRESENTED AT THE MEETING, REQUESTING THAT THE BOARD ADOPT A POLICY THAT THE CHAIRMAN OF THE BOARD OF DIRECTORS BE AN INDEPENDENT DIRECTOR.

Shareholder

Against

For

7.

TO VOTE ON A STOCKHOLDER PROPOSAL, IF PROPERLY PRESENTED AT THE MEETING,
REQUESTING THAT GILEAD ISSUE AN ANNUAL SUSTAINABILITY REPORT.

Shareholder
Against
For

8.
TO VOTE ON A STOCKHOLDER PROPOSAL, IF PROPERLY PRESENTED AT THE MEETING,
REQUESTING THAT THE BOARD REPORT ON CERTAIN RISKS TO GILEAD FROM RISING PRESSURE
TO CONTAIN U.S. SPECIALTY DRUG PRICES.

Shareholder
Against
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
2,300
0
28-Mar-2015
28-Mar-2015
W.R. GRACE & CO.
Security

38388F108

Meeting Type
Annual
Ticker Symbol

GRA

Meeting Date
07-May-2015

ISIN

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US38388F1084

Agenda
934148481 - Management
Record Date

10-Mar-2015

Holding Recon Date
10-Mar-2015

City /
Country

/
United States

Vote Deadline Date
06-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.1
ELECTION OF CLASS I DIRECTOR (TERM EXPIRING 2018): ROBERT F. CUMMINGS, JR.

Management

1.2
ELECTION OF CLASS I DIRECTOR (TERM EXPIRING 2018): MARYE ANNE FOX

Management

1.3
ELECTION OF CLASS I DIRECTOR (TERM EXPIRING 2018): JANICE K. HENRY

Management

1.4
ELECTION OF CLASS I DIRECTOR (TERM EXPIRING 2018): MARK E. TOMKINS

Management

1.5
ELECTION OF CLASS II DIRECTOR (TERM EXPIRING 2016): DIANE H. GULYAS

Management

2.
RATIFICATION OF THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR 2015

Management

3.
ADVISORY VOTE TO APPROVE NAMED EXECUTIVE OFFICER COMPENSATION

Management

4.
ADVISORY VOTE ON THE FREQUENCY OF THE ADVISORY VOTE TO APPROVE NAMED EXECUTIVE OFFICER COMPENSATION

Management

5.
APPROVAL OF THE GRACE EXECUTIVE ANNUAL INCENTIVE COMPENSATION PLAN, OR EAICP, INCLUDING THE MATERIAL TERMS OF THE PERFORMANCE MEASURES AVAILABLE UNDER THE

EAICP

Management

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL60

GLV MS PLEDGE

997AL60

STATE STREET BANK & TRUST CO

20,900

0

CHINA UNICOM (HONG KONG) LTD, HONG KONG

Security

Y1519S111

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

08-May-2015

ISIN

HK0000049939

Agenda

705897190 - Management

Record Date

05-May-2015

Holding Recon Date

05-May-2015

City /

Country

HONG KONG

/

Hong Kong

Vote Deadline Date

24-Apr-2015

SEDOL(s)

4101374 - 6263830 - B16PR82 - BP3RPN0

Quick Code

Item

Proposal

Proposed by

Vote

For/Against Management

CMMT

PLEASE NOTE IN THE HONG KONG MARKET THAT A VOTE OF "ABSTAIN" WILL BE TREATED-THE SAME AS A "TAKE NO ACTION" VOTE.

Non-Voting

CMMT

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PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- <http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0317/LTN20150317053.pdf>-AND-<http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0317/LTN20150317049.pdf>

Non-Voting

1

TO RECEIVE AND CONSIDER THE FINANCIAL STATEMENTS AND THE REPORTS OF THE DIRECTORS AND OF THE INDEPENDENT AUDITOR FOR THE YEAR ENDED 31 DECEMBER 2014

Management

For

For

2

TO DECLARE A FINAL DIVIDEND FOR THE YEAR ENDED 31 DECEMBER 2014: RMB0.20 PER SHARE

Management

For

For

3ai

TO RE-ELECT MR. CHANG XIAOBING AS A DIRECTOR

Management

For

For

3aii

TO RE-ELECT MR. ZHANG JUNAN AS A DIRECTOR

Management

For

For

3aiii

TO RE-ELECT MR. CESAREO ALIERTA IZUEL AS A DIRECTOR

Management

For

For

3aiv

TO RE-ELECT MR. CHUNG SHUI MING TIMPSON AS A DIRECTOR

Management

For

For

3b

TO AUTHORISE THE BOARD OF DIRECTORS TO FIX THE REMUNERATION OF THE DIRECTORS FOR THE YEAR ENDING 31 DECEMBER 2015

Management

For

For

4

TO RE-APPOINT AUDITOR, AND TO AUTHORISE THE BOARD OF DIRECTORS TO FIX THEIR REMUNERATION FOR THE YEAR ENDING 31 DECEMBER 2015

Management

For

For

5

TO GRANT A GENERAL MANDATE TO THE DIRECTORS TO BUY BACK SHARES IN THE COMPANY NOT EXCEEDING 10% OF THE TOTAL NUMBER OF THE EXISTING SHARES IN THE COMPANY IN ISSUE

Management

For

For

6

TO GRANT A GENERAL MANDATE TO THE DIRECTORS TO ISSUE, ALLOT AND DEAL WITH ADDITIONAL SHARES IN THE COMPANY NOT EXCEEDING 20% OF THE TOTAL NUMBER OF THE EXISTING SHARES IN THE COMPANY IN ISSUE

Management

For

For

7

TO EXTEND THE GENERAL MANDATE GRANTED TO THE DIRECTORS TO ISSUE, ALLOT AND DEAL WITH SHARES BY THE NUMBER OF SHARES BOUGHT BACK

Management

For

For

8

TO APPROVE THE ADOPTION OF THE NEW ARTICLES OF ASSOCIATION OF THE COMPANY

Management

For

For

Account Number

Account Name

Table of Contents

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
604,000
0
15-Apr-2015
06-May-2015
ATLAS MARA LTD
Security

G0697K106

Meeting Type
Annual General Meeting
Ticker Symbol

Meeting Date
12-May-2015

ISIN

VGG0697K1066

Agenda
706042493 - Management
Record Date

Holding Recon Date
08-May-2015

City /
Country

NEW YORK
/
Virgin Islands (British)

Vote Deadline Date
04-May-2015

SEDOL(s)

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BH2RCH8 - BJ36RS4
Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1
THAT THE DIRECTORS' REPORT AND ACCOUNTS AND THE AUDITORS' REPORT FOR THE FINANCIAL
YEAR ENDED 31 DECEMBER 2014 BE AND ARE RECEIVED

Management
For
For

2
THAT MR. ARNOLD EKPE TO BE RE- APPOINTED AS DIRECTOR OF THE COMPANY

Management
For
For

3
THAT MR. JOHN F. VITALO BE RE- APPOINTED AS A DIRECTOR OF THE COMPANY

Management
For
For

4
THAT MS. RACHEL F. ROBBINS BE RE- APPOINTED AS A DIRECTOR OF THE COMPANY

Management
For
For

5
THAT MR. TONYE COLE BE RE-APPOINTED AS A DIRECTOR OF THE COMPANY

Management
For
For

6
THAT MS. OLUFUNKE OPEKE BE RE- APPOINTED AS A DIRECTOR OF THE COMPANY

Management
For
For

7
THAT MR. AMADOU RAIMI BE RE-APPOINTED AS A DIRECTOR OF THE COMPANY

Management
For
For

8
THAT MR. EDUARDO CHIVAMBO MONDLANE, JR. BE RE-APPOINTED AS A DIRECTOR OF THE COMPANY

Management
For
For

9
THAT MR. ROBERT E. DIAMOND, JR. BE RE- APPOINTED AS A DIRECTOR OF THE COMPANY

Management
For
For

10

THAT MR. ASHISH J. THAKKAR BE RE- APPOINTED AS A DIRECTOR OF THE COMPANY

Management

For

For

11

THAT, PURSUANT TO ARTICLE 3.11 OF THE ARTICLES, THE DIRECTORS BE AND ARE GIVEN THE POWER TO ISSUE OR SELL FROM TREASURY EQUITY SECURITIES OF ANY CLASS FOR CASH AS IF THE PROVISIONS OF ARTICLE 3.2 OF THE ARTICLES DO NOT APPLY TO THE ISSUE OR SALE FROM TREASURY

Management

For

For

CMMT

24 APR 2015: PLEASE NOTE THAT THIS IS A REVISION DUE TO CHANGE OF THE MEETING-TIME. IF YOU HAVE ALREADY SENT IN YOUR VOTES, PLEASE DO NOT VOTE AGAIN UNLESS-YOU DECIDE TO AMEND YOUR ORIGINAL INSTRUCTIONS. THANK YOU.

Non-Voting

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

183,658

0

18-Apr-2015

04-May-2015

CALPINE CORPORATION

Security

131347304

Meeting Type

Annual

Ticker Symbol

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CPN

Meeting Date
13-May-2015

ISIN

US1313473043

Agenda
934151983 - Management
Record Date

16-Mar-2015

Holding Recon Date
16-Mar-2015

City /
Country

/
United States

Vote Deadline Date
12-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
FRANK CASSIDY

For
For

2
JACK A. FUSCO

For
For

3
JOHN B. (THAD) HILL III

For
For

4
MICHAEL W. HOFMANN

For
For

5
DAVID C. MERRITT

For
For

6
W. BENJAMIN MORELAND

For
For

7
ROBERT A. MOSBACHER, JR

For
For

8
DENISE M. O'LEARY

For
For

2.
TO RATIFY THE SELECTION OF PRICEWATERHOUSECOOPERS LLP AS THE COMPANY'S
INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31,
2015.

Management
For
For

3.
TO APPROVE, ON AN ADVISORY BASIS, NAMED EXECUTIVE OFFICER COMPENSATION.

Management
For
For

4.
TO AMEND AND RESTATE THE COMPANY'S BYLAWS TO IMPLEMENT MAJORITY VOTING IN
UNCONTESTED DIRECTOR ELECTIONS.

Management
For
For

5.
TO REAPPROVE THE MATERIAL TERMS OF THE PERFORMANCE GOALS UNDER THE CALPINE
CORPORATION 2008 EQUITY INCENTIVE PLAN FOR PURPOSES OF SECTION 162(M) OF THE INTERNAL
REVENUE CODE.

Management
For
For

Account Number

Account Name

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Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL60

GLV MS PLEDGE

997AL60

STATE STREET BANK & TRUST CO

83,100

0

01-Apr-2015

01-Apr-2015

AMERICAN INTERNATIONAL GROUP, INC.

Security

026874784

Meeting Type

Annual

Ticker Symbol

AIG

Meeting Date

13-May-2015

ISIN

US0268747849

Agenda

934157226 - Management

Record Date

18-Mar-2015

Holding Recon Date

18-Mar-2015

City /

Country

/

United States

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12-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: W. DON CORNWELL

Management
For
For

1B.
ELECTION OF DIRECTOR: PETER R. FISHER

Management
For
For

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1C.
ELECTION OF DIRECTOR: JOHN H. FITZPATRICK

Management
For
For

1D.
ELECTION OF DIRECTOR: PETER D. HANCOCK

Management
For
For

1E.
ELECTION OF DIRECTOR: WILLIAM G. JURGENSEN

Management
For
For

1F.
ELECTION OF DIRECTOR: CHRISTOPHER S. LYNCH

Management
For
For

1G.
ELECTION OF DIRECTOR: GEORGE L. MILES, JR.

Management
For
For

1H.
ELECTION OF DIRECTOR: HENRY S. MILLER

Management
For
For

1I.
ELECTION OF DIRECTOR: ROBERT S. MILLER

Management
For
For

1J.

ELECTION OF DIRECTOR: SUZANNE NORA JOHNSON

Management

For

For

1K.

ELECTION OF DIRECTOR: RONALD A. RITTENMEYER

Management

For

For

1L.

ELECTION OF DIRECTOR: DOUGLAS M. STEENLAND

Management

For

For

1M.

ELECTION OF DIRECTOR: THERESA M. STONE

Management

For

For

2.

TO VOTE, ON A NON-BINDING ADVISORY BASIS, TO APPROVE EXECUTIVE COMPENSATION.

Management

For

For

3.

TO ACT UPON A PROPOSAL TO RATIFY THE SELECTION OF PRICEWATERHOUSECOOPERS LLP AS AIG'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR 2015.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

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Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
10,500
0
31-Mar-2015
31-Mar-2015
SERVICE CORPORATION INTERNATIONAL
Security

817565104

Meeting Type
Annual
Ticker Symbol

SCI

Meeting Date
13-May-2015

ISIN

US8175651046

Agenda
934159725 - Management
Record Date

16-Mar-2015

Holding Recon Date
16-Mar-2015

City /
Country

/
United States

Vote Deadline Date
12-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
ELLEN OCHOA

For
For

2
R.L. WALTRIP

For
For

3
ANTHONY L. COELHO

Table of Contents

For
For

4
MARCUS A. WATTS

For
For

5
EDWARD E. WILLIAMS

For
For

2
TO APPROVE THE SELECTION OF PRICEWATERHOUSECOOPERS LLP AS THE COMPANY'S
INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR FISCAL 2015.

Management
For
For

3
TO APPROVE, BY ADVISORY VOTE, NAMED EXECUTIVE OFFICER COMPENSATION.

Management
For
For

4
TO APPROVE THE PROPOSAL TO DECLASSIFY THE BOARD OF DIRECTORS.

Management
For
For

5
TO APPROVE THE SHAREHOLDER PROPOSAL REGARDING A SENIOR EXECUTIVE STOCK RETENTION
REQUIREMENT.

Shareholder
Against
For

Account Number

Account Name

Internal Account

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Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
5,800
0
02-Apr-2015
14-May-2015
FORD MOTOR COMPANY
Security

345370860

Meeting Type
Annual
Ticker Symbol

F

Meeting Date
14-May-2015

ISIN

US3453708600

Agenda
934153026 - Management
Record Date

17-Mar-2015

Holding Recon Date
17-Mar-2015

City /
Country

/
United States

Vote Deadline Date
13-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: STEPHEN G. BUTLER

Management
For
For

1B.
ELECTION OF DIRECTOR: KIMBERLY A. CASIANO

Management
For
For

1C.

Table of Contents

ELECTION OF DIRECTOR: ANTHONY F. EARLEY, JR.

Management

For

For

1D.

ELECTION OF DIRECTOR: MARK FIELDS

Management

For

For

1E.

ELECTION OF DIRECTOR: EDSEL B. FORD II

Management

For

For

1F.

ELECTION OF DIRECTOR: WILLIAM CLAY FORD, JR.

Management

For

For

1G.

ELECTION OF DIRECTOR: JAMES P. HACKETT

Management

For

For

1H.

ELECTION OF DIRECTOR: JAMES H. HANCE, JR.

Management

For

For

1I.

ELECTION OF DIRECTOR: WILLIAM W. HELMAN IV

Management

For

For

1J.

ELECTION OF DIRECTOR: JON M. HUNTSMAN, JR.

Management
For
For

1K.
ELECTION OF DIRECTOR: WILLIAM E. KENNARD

Management
For
For

1L.
ELECTION OF DIRECTOR: JOHN C. LECHLEITER

Management
For
For

1M.
ELECTION OF DIRECTOR: ELLEN R. MARRAM

Management
For
For

1N.
ELECTION OF DIRECTOR: GERALD L. SHAHEEN

Management
For
For

1O.
ELECTION OF DIRECTOR: JOHN L. THORNTON

Management
For
For

2.
RATIFICATION OF SELECTION OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM.

Management
For
For

3.
SAY ON PAY - AN ADVISORY VOTE TO APPROVE THE COMPENSATION OF THE NAMED EXECUTIVES.

Management
For

For

4.

RELATING TO CONSIDERATION OF A RECAPITALIZATION PLAN TO PROVIDE THAT ALL OF THE COMPANY'S OUTSTANDING STOCK HAVE ONE VOTE PER SHARE.

Shareholder

Against

For

5.

RELATING TO ALLOWING HOLDERS OF 20% OF OUTSTANDING COMMON STOCK TO CALL SPECIAL MEETINGS OF SHAREHOLDERS.

Shareholder

Against

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL60

GLV MS PLEDGE

997AL60

STATE STREET BANK & TRUST CO

61,800

0

26-Mar-2015

26-Mar-2015

TWO HARBORS INVESTMENT CORP.

Security

90187B101

Meeting Type

Annual

Ticker Symbol

TWO

Meeting Date

14-May-2015

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ISIN

US90187B1017

Agenda

934154220 - Management

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19-Mar-2015

Holding Recon Date

19-Mar-2015

City /

Country

/

United States

Vote Deadline Date

13-May-2015

SEDOL(s)

Quick Code

Item

Proposal

Proposed by

Vote
For/Against Management

1.1
ELECTION OF DIRECTOR: E. SPENCER ABRAHAM

Management
For
For

1.2
ELECTION OF DIRECTOR: JAMES J. BENDER

Management
For
For

1.3
ELECTION OF DIRECTOR: STEPHEN G. KASNET

Management
For
For

1.4
ELECTION OF DIRECTOR: WILLIAM ROTH

Management
For
For

1.5
ELECTION OF DIRECTOR: W. REID SANDERS

Management
For
For

1.6
ELECTION OF DIRECTOR: THOMAS E. SIERING

Management
For
For

1.7

ELECTION OF DIRECTOR: BRIAN C. TAYLOR

Management

For

For

1.8

ELECTION OF DIRECTOR: HOPE B. WOODHOUSE

Management

For

For

2.

ADVISORY VOTE ON THE COMPENSATION OF OUR EXECUTIVE OFFICERS.

Management

For

For

3.

APPROVAL OF THE TWO HARBORS SECOND RESTATED 2009 EQUITY INCENTIVE PLAN.

Management

For

For

4.

RATIFICATION OF THE APPOINTMENT OF ERNST & YOUNG LLP TO SERVE AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR OUR FISCAL YEAR ENDING DECEMBER 31, 2015.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

61,700

0

27-Mar-2015

27-Mar-2015

997AL60

GLV MS PLEDGE

997AL60

STATE STREET BANK & TRUST CO

200,000

0

27-Mar-2015

27-Mar-2015

ALLISON TRANSMISSION HOLDINGS, INC.

Security

01973R101

Meeting Type

Annual

Ticker Symbol

ALSN

Meeting Date

14-May-2015

ISIN

US01973R1014

Agenda

934155412 - Management

Record Date

16-Mar-2015

Holding Recon Date

16-Mar-2015

City /

Country

/

United States

Vote Deadline Date

13-May-2015

SEDOL(s)

Quick Code

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Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
LAWRENCE E. DEWEY

For
For

2
THOMAS W. RABAUT

For
For

3

Table of Contents

RICHARD V. REYNOLDS

For
For

2.
RATIFICATION OF THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLP AS THE COMPANY'S
INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR 2015.

Management
For
For

3.
APPROVAL OF THE ALLISON TRANSMISSION HOLDINGS, INC. 2015 EQUITY INCENTIVE AWARD
PLAN.

Management
For
For

4.
APPROVAL OF THE ALLISON TRANSMISSION HOLDINGS, INC. 2016 INCENTIVE PLAN.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL60
GLV MS PLEDGE
997AL60
STATE STREET BANK & TRUST CO
1,000
0
16-Apr-2015
15-May-2015
CYPRESS SEMICONDUCTOR CORPORATION
Security

232806109

Meeting Type
Annual
Ticker Symbol

CY

Meeting Date
15-May-2015

ISIN

US2328061096

Agenda
934161580 - Management
Record Date

23-Mar-2015

Holding Recon Date
23-Mar-2015

City /
Country

/
United States

Vote Deadline Date
14-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
T.J. RODGERS

For
For

2
W. STEVE ALBRECHT

For
For

3
ERIC A. BENHAMOU

For
For

4
WILBERT VAN DEN HOEK

For
For

5
JOHN H. KISPERT

For

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For

6
H. RAYMOND BINGHAM

For
For

7
O.C. KWON

For
For

8
MICHAEL S. WISHART

For
For

2
THE RATIFICATION OF THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLP AS OUR
INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR FISCAL YEAR 2015.

Management
For
For

3
ANNUAL ADVISORY VOTE TO APPROVE THE COMPENSATION OF OUR NAMED EXECUTIVE
OFFICERS.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27

STATE STREET BANK & TRUST CO

40,294

0

02-Apr-2015

18-May-2015

997AL60

GLV MS PLEDGE

997AL60

STATE STREET BANK & TRUST CO

88,452

0

02-Apr-2015

18-May-2015

VERACYTE, INC.

Security

92337F107

Meeting Type

Annual

Ticker Symbol

VCYT

Meeting Date

18-May-2015

ISIN

US92337F1075

Agenda

934167594 - Management

Record Date

24-Mar-2015

Holding Recon Date

24-Mar-2015

City /

Country

/

United States

Vote Deadline Date

15-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
JOHN L. BISHOP

For
For

2
FRED E. COHEN

For
For

2

TO APPROVE THE VERACYTE, INC. EMPLOYEE STOCK PURCHASE PLAN.

Management

For

For

3

TO RATIFY THE APPOINTMENT OF ERNST & YOUNG LLP AS INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR 2015.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

7,100

0

09-Apr-2015

19-May-2015

COMMUNITY HEALTH SYSTEMS, INC.

Security

203668108

Meeting Type

Annual

Ticker Symbol

CYH

Meeting Date

19-May-2015

ISIN

US2036681086

Agenda
934167075 - Management
Record Date

20-Mar-2015

Holding Recon Date
20-Mar-2015

City /
Country

/
United States

Vote Deadline Date
18-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A)
ELECTION OF DIRECTOR: W. LARRY CASH

Management
For
For

1B)
ELECTION OF DIRECTOR: JOHN A. CLERLCO

Management
For
For

1C)
ELECTION OF DIRECTOR: JAMES S. ELY III

Management
For
For

1D)
ELECTION OF DIRECTOR: JOHN A. FRY

Management
For
For

1E)
ELECTION OF DIRECTOR: WILLIAM NORRIS JENNINGS, M.D.

Management
For
For

1F)
ELECTION OF DIRECTOR: JULIA B. NORTH

Management
For
For

1G)
ELECTION OF DIRECTOR: WAYNE T. SMITH

Management

For
For

1H)
ELECTION OF DIRECTOR: H. MITCHELL WATSON, JR.

Management
For
For

2.
PROPOSAL TO APPROVE THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS.

Management
For
For

3.
PROPOSAL TO RATIFY THE SELECTION OF DELOITTE & TOUCHE LLP AS THE COMPANY'S
INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER
31, 2015.

Management
For
For

4.
STOCKHOLDER PROPOSAL REGARDING THE AMENDMENT OF THE COMPANY'S CLAWBACK
POLICY.

Shareholder
Against
For

5.
STOCKHOLDER PROPOSAL REGARDING STOCKHOLDER PROXY ACCESS.

Shareholder
Against
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

3,700

0

16-Apr-2015

20-May-2015

JPMORGAN CHASE & CO.

Security

46625H100

Meeting Type

Annual

Ticker Symbol

JPM

Meeting Date

19-May-2015

ISIN

US46625H1005

Agenda

934169916 - Management

Record Date

20-Mar-2015

Holding Recon Date

20-Mar-2015

City /

Country

/

United States

Vote Deadline Date

18-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: LINDA B. BAMMANN

Management
For
For

1B.
ELECTION OF DIRECTOR: JAMES A. BELL

Management
For
For

1C.
ELECTION OF DIRECTOR: CRANDALL C. BOWLES

Management
For
For

1D.
ELECTION OF DIRECTOR: STEPHEN B. BURKE

Management
For
For

1E.
ELECTION OF DIRECTOR: JAMES S. CROWN

Management
For
For

1F.
ELECTION OF DIRECTOR: JAMES DIMON

Management
For
For

1G.
ELECTION OF DIRECTOR: TIMOTHY P. FLYNN

Management
For
For

1H.
ELECTION OF DIRECTOR: LABAN P. JACKSON, JR.

Management
For
For

1I.
ELECTION OF DIRECTOR: MICHAEL A. NEAL

Management
For
For

1J.
ELECTION OF DIRECTOR: LEE R. RAYMOND

Management
For
For

1K.

ELECTION OF DIRECTOR: WILLIAM C. WELDON

Management

For

For

2.

ADVISORY RESOLUTION TO APPROVE EXECUTIVE COMPENSATION

Management

For

For

3.

RATIFICATION OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

Management

For

For

4.

APPROVAL OF AMENDMENT TO LONG-TERM INCENTIVE PLAN

Management

For

For

5.

INDEPENDENT BOARD CHAIRMAN - REQUIRE AN INDEPENDENT CHAIR

Shareholder

Against

For

6.

LOBBYING - REPORT ON POLICIES, PROCEDURES AND EXPENDITURES

Shareholder

Against

For

7.

SPECIAL SHAREOWNER MEETINGS - REDUCE OWNERSHIP THRESHOLD FROM 20% TO 10%

Shareholder

Against

For

8.

HOW VOTES ARE COUNTED - COUNT VOTES USING ONLY FOR AND AGAINST

Shareholder
Against
For

9.
ACCELERATED VESTING PROVISIONS - REPORT NAMES OF SENIOR EXECUTIVES AND VALUE OF
EQUITY AWARDS THAT WOULD VEST IF THEY RESIGN TO ENTER GOVERNMENT SERVICE

Shareholder
Against
For

10.
CLAWBACK DISCLOSURE POLICY - DISCLOSE WHETHER THE FIRM RECOUPED ANY INCENTIVE
COMPENSATION FROM SENIOR EXECUTIVES

Shareholder
Against
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
11,500
0
09-Apr-2015
20-May-2015
HEALTHWAYS, INC.
Security

422245100

Meeting Type
Annual
Ticker Symbol

HWAY

Meeting Date
19-May-2015

ISIN

US4222451001

Agenda
934170337 - Management
Record Date

25-Mar-2015

Holding Recon Date
25-Mar-2015

City /
Country

/
United States

Vote Deadline Date
18-May-2015

SEDOL(s)

Quick Code

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Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: MARY JANE ENGLAND, M.D.

Management
For
For

1B.
ELECTION OF DIRECTOR: ROBERT J. GRECZYN, JR.

Management
For
For

1C.
ELECTION OF DIRECTOR: BRADLEY S. KARRO

Management
For
For

1D.
ELECTION OF DIRECTOR: PAUL H. KECKLEY, PH.D.

Management
For
For

1E.
ELECTION OF DIRECTOR: CONAN J. LAUGHLIN

Management
For
For

1F.
ELECTION OF DIRECTOR: WILLIAM D. NOVELLI

Management
For
For

1G.
ELECTION OF DIRECTOR: LEE A. SHAPIRO

Management
For
For

1H.
ELECTION OF DIRECTOR: KEVIN G. WILLIS

Management
For
For

2
TO CONSIDER AND ACT UPON A NON- BINDING ADVISORY VOTE TO APPROVE EXECUTIVE
COMPENSATION AS DISCLOSED IN THE PROXY STATEMENT.

Management
For
For

3
TO RATIFY THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLP AS THE COMPANY'S
INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR FISCAL 2015.

Management
For
For

4
TO CONSIDER AND ACT UPON A PROPOSAL TO APPROVE THE COMPANY'S AMENDED AND
RESTATE 2014 STOCK INCENTIVE PLAN.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed

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997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

69,729

0

08-Apr-2015

20-May-2015

997AL60

GLV MS PLEDGE

997AL60

STATE STREET BANK & TRUST CO

1,000

0

08-Apr-2015

20-May-2015

VALEANT PHARMACEUTICALS INTERNATIONAL

Security

91911K102

Meeting Type

Annual

Ticker Symbol

VRX

Meeting Date

19-May-2015

ISIN

CA91911K1021

Agenda

934174599 - Management

Record Date

24-Mar-2015

Holding Recon Date

24-Mar-2015

City /

Country

/

United States

Vote Deadline Date

18-May-2015

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SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: RONALD H. FARMER

Management
For
For

1B.
ELECTION OF DIRECTOR: COLLEEN A. GOGGINS

Management
For
For

1C.
ELECTION OF DIRECTOR: ROBERT A. INGRAM

Management
For
For

1D.
ELECTION OF DIRECTOR: ANDERS O. LONNER

Management
For
For

1E.
ELECTION OF DIRECTOR: THEO MELAS- KYRIAZI

Management
For
For

1F.
ELECTION OF DIRECTOR: J. MICHAEL PEARSON

Management
For
For

1G.
ELECTION OF DIRECTOR: ROBERT N. POWER

Management
For
For

1H.
ELECTION OF DIRECTOR: NORMA A. PROVENCIO

Management
For
For

1I.
ELECTION OF DIRECTOR: HOWARD B. SCHILLER

Management
For
For

1J.
ELECTION OF DIRECTOR: KATHARINE B. STEVENSON

Management

For

For

1K.

ELECTION OF DIRECTOR: JEFFREY W. UBBEN

Management

For

For

2.

THE APPROVAL, IN AN ADVISORY RESOLUTION, OF THE COMPENSATION OF OUR NAMED EXECUTIVE OFFICERS AS DISCLOSED IN THE COMPENSATION DISCUSSION AND ANALYSIS SECTION, EXECUTIVE COMPENSATION TABLES AND ACCOMPANYING NARRATIVE DISCUSSIONS CONTAINED IN THE MANAGEMENT PROXY CIRCULAR AND PROXY STATEMENT.

Management

For

For

3.

TO APPOINT PRICEWATERHOUSECOOPERS LLP AS THE AUDITORS FOR THE COMPANY TO HOLD OFFICE UNTIL THE CLOSE OF THE 2016 ANNUAL MEETING OF SHAREHOLDERS AND TO AUTHORIZE THE COMPANY'S BOARD OF DIRECTORS TO FIX THE AUDITORS' REMUNERATION.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL60

GLV MS PLEDGE

997AL60

STATE STREET BANK & TRUST CO

5,400

0

10-Apr-2015

20-May-2015

LUMBER LIQUIDATORS HOLDINGS, INC.

Security

55003T107

Meeting Type

Annual

Ticker Symbol

LL

Meeting Date

21-May-2015

ISIN

US55003T1079

Agenda

934171606 - Management

Record Date

26-Mar-2015

Holding Recon Date

26-Mar-2015

City /

Country

/

United States

Vote Deadline Date

20-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
DOUGLAS T. MOORE

For
For

2
NANCY M. TAYLOR

For
For

3
JIMMIE L. WADE

For
For

2.
PROPOSAL TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS THE COMPANY'S INDEPENDENT
REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2015.

Management
For
For

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3.
PROPOSAL TO PROVIDE ADVISORY (NON- BINDING) APPROVAL OF NAMED EXECUTIVE OFFICER
COMPENSATION.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

13,400

0

11-Apr-2015

22-May-2015

997AL60

GLV MS PLEDGE

997AL60

STATE STREET BANK & TRUST CO

1,000

0

11-Apr-2015

22-May-2015

VINDA INTERNATIONAL HOLDINGS LTD

Security

G9361V108

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

26-May-2015

ISIN

KYG9361V1086

Agenda
705871994 - Management
Record Date

19-May-2015

Holding Recon Date
19-May-2015

City /
Country

HONG KONG
/
Cayman Islands

Vote Deadline Date
12-May-2015

SEDOL(s)

B1Z7648 - B235FQ6
Quick Code

Item
Proposal

Proposed by

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Vote
For/Against Management

CMMT

PLEASE NOTE THAT SHAREHOLDERS ARE ALLOWED TO VOTE 'IN FAVOR' OR 'AGAINST' FOR-ALL RESOLUTIONS, ABSTAIN IS NOT A VOTING OPTION ON THIS MEETING

Non-Voting

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- <http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0305/LTN20150305009.pdf>-AND-<http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0305/LTN20150305011.PDF>

Non-Voting

1

TO RECEIVE AND ADOPT THE AUDITED FINANCIAL STATEMENTS AND THE REPORTS OF THE DIRECTORS AND THE AUDITORS OF THE COMPANY FOR THE YEAR ENDED 31 DECEMBER 2014

Management

For
For

2

TO DECLARE A FINAL DIVIDEND FOR THE YEAR ENDED 31 DECEMBER 2014

Management

For
For

3.a.i

TO RE-ELECT MR. LI CHAO WANG AS AN EXECUTIVE DIRECTOR

Management

For
For

3.iii

TO RE-ELECT MR. JOHANN CHRISTOPH MICHALSKI AS A NON-EXECUTIVE DIRECTOR

Management

For
For

3a.iii

TO RE-ELECT MR. ULF OLOF LENNART SODERSTROM AS A NON-EXECUTIVE DIRECTOR

Management

For

For

3.a.iv

TO RE-ELECT MR. KAM ROBERT AS AN INDEPENDENT NON-EXECUTIVE DIRECTOR

Management

For

For

3.a.v

TO RE-ELECT MR. WONG KWAI HUEN, ALBERT AS AN INDEPENDENT NON- EXECUTIVE DIRECTOR

Management

For

For

3.b

TO AUTHORISE THE BOARD OF DIRECTORS TO FIX THE REMUNERATION OF THE DIRECTORS

Management

For

For

4

TO RE-APPOINT PRICEWATERHOUSECOOPERS AS AUDITOR OF THE COMPANY AND TO AUTHORISE THE BOARD OF DIRECTORS TO FIX THEIR REMUNERATION

Management

For

For

5

TO GIVE A GENERAL MANDATE TO THE DIRECTORS TO ISSUE SHARES UP TO 20%

Management

For

For

6

TO GIVE A GENERAL MANDATE TO THE DIRECTORS TO REPURCHASE SHARES UP TO 10%

Management

For

For

7

TO AUTHORISE THE DIRECTORS TO ISSUE AND ALLOT THE SHARES REPURCHASED BY THE COMPANY

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
227,498
0
06-Mar-2015
21-May-2015
ILLUMINA, INC.
Security

452327109

Meeting Type
Annual
Ticker Symbol

ILMN

Meeting Date
27-May-2015

ISIN

US4523271090

Agenda
934174602 - Management
Record Date

31-Mar-2015

Holding Recon Date
31-Mar-2015

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City /
Country

/
United States

Vote Deadline Date
26-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: A. BLAINE BOWMAN

Management
For

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For

1B.
ELECTION OF DIRECTOR: KARIN EASTHAM, CPA

Management

For

For

1C.
ELECTION OF DIRECTOR: JAY T. FLATLEY

Management

For

For

1D.
ELECTION OF DIRECTOR: JEFFREY T. HUBER

Management

For

For

1E.
ELECTION OF DIRECTOR: WILLIAM H. RASTETTER, PH.D.

Management

For

For

2.
TO RATIFY THE APPOINTMENT OF ERNST & YOUNG LLP AS OUR INDEPENDENT REGISTERED
PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING JANUARY 3, 2016

Management

For

For

3.
TO APPROVE, ON AN ADVISORY BASIS, THE COMPENSATION OF THE NAMED EXECUTIVE OFFICERS
AS DISCLOSED IN THE PROXY STATEMENT

Management

For

For

4.
TO APPROVE THE ILLUMINA, INC. 2015 STOCK AND INCENTIVE PLAN

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

1,700

0

14-Apr-2015

28-May-2015

997AL60

GLV MS PLEDGE

997AL60

STATE STREET BANK & TRUST CO

8,000

0

14-Apr-2015

28-May-2015

ALKERMES PLC

Security

G01767105

Meeting Type

Annual

Ticker Symbol

ALKS

Meeting Date

27-May-2015

ISIN

IE00B56GVS15

Agenda

934182673 - Management

Record Date

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17-Mar-2015

Holding Recon Date

17-Mar-2015

City /

Country

/

United States

Vote Deadline Date

22-May-2015

SEDOL(s)

Quick Code

Item

Proposal

Proposed by

Vote

For/Against Management

1.1

ELECTION OF DIRECTOR: FLOYD E. BLOOM

Management

For

For

1.2

ELECTION OF DIRECTOR: NANCY J. WYSENSKI

Management

For

For

2.

TO HOLD A NON-BINDING, ADVISORY VOTE TO APPROVE THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS.

Management

For

For

3.

TO AUTHORIZE HOLDING THE 2016 ANNUAL GENERAL MEETING OF SHAREHOLDERS OF THE COMPANY AT A LOCATION OUTSIDE OF IRELAND.

Management

For

For

4.

TO APPOINT PRICEWATERHOUSECOOPERS LLP AS THE INDEPENDENT ACCOUNTING FIRM OF THE COMPANY AND TO AUTHORIZE THE AUDIT AND RISK COMMITTEE OF THE BOARD OF DIRECTORS TO SET THE ACCOUNTING FIRM'S REMUNERATION.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

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997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

5,800

0

15-Apr-2015

27-May-2015

DYNAVAX TECHNOLOGIES CORPORATION

Security

268158201

Meeting Type

Annual

Ticker Symbol

DVAX

Meeting Date

27-May-2015

ISIN

US2681582019

Agenda

934204594 - Management

Record Date

07-Apr-2015

Holding Recon Date

07-Apr-2015

City /

Country

/

United States

Vote Deadline Date

26-May-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
ARNOLD L. ORONSKY, PH.D

For
For

2
FRANCIS R. CANO, PH.D.

For
For

3
PEGGY V. PHILLIPS

For
For

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2.

TO AMEND AND RESTATE THE DYNAVAX TECHNOLOGIES CORPORATION 2011 EQUITY INCENTIVE PLAN TO, AMONG OTHER THINGS, INCREASE THE AGGREGATE NUMBER OF SHARES OF COMMON STOCK AUTHORIZED FOR ISSUANCE UNDER THE PLAN BY 2,250,000, AND TO APPROVE THE AWARD LIMITS AND OTHER TERMS APPLICABLE TO AWARDS INTENDED TO QUALIFY AS "PERFORMANCE-BASED COMPENSATION" FOR PURPOSES OF SECTION 162(M) OF THE INTERNAL REVENUE CODE.

Management

For

For

3.

TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR ITS FISCAL YEAR ENDING DECEMBER 31, 2015.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

11,900

0

25-Apr-2015

28-May-2015

CHINA MOBILE LIMITED, HONG KONG

Security

Y14965100

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

28-May-2015

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ISIN

HK0941009539

Agenda

705987886 - Management

Record Date

21-May-2015

Holding Recon Date

21-May-2015

City /

Country

HONG KONG

/

Hong Kong

Vote Deadline Date

14-May-2015

SEDOL(s)

5563575 - 6073556 - B01DDV9 - B162JB0 - BP3RPD0 - BRTM834

Quick Code

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Proposed by

Vote
For/Against Management

CMMT

PLEASE NOTE IN THE HONG KONG MARKET THAT A VOTE OF "ABSTAIN" WILL BE TREATED-THE SAME AS A "TAKE NO ACTION" VOTE.

Non-Voting

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- <http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0408/LTN201504081007.pdf>-AND-
<http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0408/LTN20150408997.pdf>

Non-Voting

1

TO RECEIVE AND CONSIDER THE AUDITED FINANCIAL STATEMENTS AND THE REPORTS OF THE DIRECTORS AND AUDITORS OF THE COMPANY AND ITS SUBSIDIARIES FOR THE YEAR ENDED 31 DECEMBER 2014

Management

For

For

2

TO DECLARE A FINAL DIVIDEND FOR THE YEAR ENDED 31 DECEMBER 2014

Management

For

For

3

TO RE-ELECT MR. XUE TAOHAI AS EXECUTIVE DIRECTOR OF THE COMPANY

Management

For

For

4.i

TO RE-ELECT THE FOLLOWING PERSON AS INDEPENDENT NON-EXECUTIVE DIRECTOR OF THE COMPANY: MR. FRANK WONG KWONG SHING

Management

For
For

4.ii
TO RE-ELECT THE FOLLOWING PERSON AS INDEPENDENT NON-EXECUTIVE DIRECTOR OF THE COMPANY: DR. MOSES CHENG MO CHI

Management
For
For

5
TO RE-APPOINT PRICEWATERHOUSECOOPERS AND PRICEWATERHOUSECOOPERS ZHONG TIAN LLP AS THE AUDITORS OF THE GROUP FOR HONG KONG FINANCIAL REPORTING AND U.S. FINANCIAL REPORTING PURPOSES, RESPECTIVELY, AND TO AUTHORIZE THE DIRECTORS OF THE COMPANY TO FIX THEIR REMUNERATION

Management
For
For

6
TO GIVE A GENERAL MANDATE TO THE DIRECTORS OF THE COMPANY TO REPURCHASE SHARES IN THE COMPANY NOT EXCEEDING 10% OF THE NUMBER OF ISSUED SHARES IN ACCORDANCE WITH ORDINARY RESOLUTION NUMBER 6 AS SET OUT IN THE AGM NOTICE

Management
For
For

7
TO GIVE A GENERAL MANDATE TO THE DIRECTORS OF THE COMPANY TO ISSUE, ALLOT AND DEAL WITH ADDITIONAL SHARES IN THE COMPANY NOT EXCEEDING 20% OF THE NUMBER OF ISSUED SHARES IN ACCORDANCE WITH ORDINARY RESOLUTION NUMBER 7 AS SET OUT IN THE AGM NOTICE

Management
For
For

8
TO EXTEND THE GENERAL MANDATE GRANTED TO THE DIRECTORS OF THE COMPANY TO ISSUE, ALLOT AND DEAL WITH SHARES BY THE NUMBER OF SHARES REPURCHASED IN ACCORDANCE WITH ORDINARY RESOLUTION NUMBER 8 AS SET OUT IN THE AGM NOTICE

Management
For
For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

45,000

0

10-Apr-2015

26-May-2015

CT ENVIRONMENTAL GROUP LTD, GRAND CAYMAN

Security

G25885107

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

28-May-2015

ISIN

KYG258851073

Agenda

706075909 - Management

Record Date

22-May-2015

Holding Recon Date

22-May-2015

City /

Country

HONG KONG

/

Cayman Islands

Vote Deadline Date

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21-May-2015

SEDOL(s)

B4KQ8P6 - BWBY0S2
Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

CMMT
PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON
THE URL LINKS:- <http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0424/LTN201504241113.pdf>-AND-
<http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0424/LTN201504241154.pdf>

Non-Voting

CMMT
PLEASE NOTE THAT SHAREHOLDERS ARE ALLOWED TO VOTE 'IN FAVOR' OR 'AGAINST' FOR-ALL
RESOLUTIONS, ABSTAIN IS NOT A VOTING OPTION ON THIS MEETING

Non-Voting

1

TO RECEIVE AND CONSIDER THE AUDITED CONSOLIDATED FINANCIAL STATEMENTS OF THE COMPANY AND THE DIRECTORS' REPORT AND THE INDEPENDENT AUDITOR'S REPORT FOR THE YEAR ENDED 31 DECEMBER 2014

Management

For

For

2

TO DECLARE A FINAL DIVIDEND OF HKD 0.03 PER ORDINARY SHARE AND A SPECIAL DIVIDEND OF HKD 0.025 PER ORDINARY SHARE FOR THE YEAR ENDED 31 DECEMBER 2014 TO THE SHAREHOLDERS OF THE COMPANY

Management

For

For

3.a

TO RE-ELECT MR. XU JU WEN AS AN EXECUTIVE DIRECTOR

Management

For

For

3.b

TO RE-ELECT MR. XU ZI TAO AS AN EXECUTIVE DIRECTOR

Management

For

For

3.c

TO RE-ELECT MR. LIU YUNG CHAU AS AN INDEPENDENT NON-EXECUTIVE DIRECTOR

Management

For

For

3.d

TO RE-ELECT MR. DU HEQUN AS AN INDEPENDENT NON-EXECUTIVE DIRECTOR

Management

For

For

3.e

TO AUTHORIZE THE BOARD TO FIX THE REMUNERATION OF THE DIRECTORS

Management

For
For

4
TO RE-APPOINT KPMG AS AUDITOR AND TO AUTHORIZE THE BOARD TO FIX ITS REMUNERATION

Management
For
For

5.a
TO GRANT A GENERAL MANDATE TO THE BOARD TO REPURCHASE, THE COMPANY'S SHARE AS SET
OUT IN RESOLUTION NO. 5A OF THE NOTICE

Management
For
For

5.b
TO GRANT A GENERAL MANDATE TO THE BOARD TO ALLOT, ISSUE AND DEAL WITH THE
COMPANY'S ADDITIONAL SHARES AS SET OUT IN RESOLUTION NO. 5B OF THE NOTICE

Management
For
For

5.c
TO EXTEND THE GENERAL MANDATE TO THE BOARD TO ALLOT, ISSUE AND DEAL WITH SUCH
NUMBER OF ADDITIONAL SHARES AS MAY BE REPURCHASED BY THE COMPANY AS SET OUT IN
RESOLUTION NO. 5C OF THE NOTICE

Management
For
For

6
TO AMEND THE EXISTING ARTICLES OF ASSOCIATION OF THE COMPANY AS SET OUT IN
RESOLUTION NO. 6 OF THE NOTICE

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

248,000

0

08-May-2015

26-May-2015

LIFEPOINT HOSPITALS, INC.

Security

53219L109

Meeting Type

Annual

Ticker Symbol

LPNT

Meeting Date

02-Jun-2015

ISIN

US53219L1098

Agenda

934196850 - Management

Record Date

10-Apr-2015

Holding Recon Date

10-Apr-2015

City /

Country

/

United States

Vote Deadline Date

01-Jun-2015

SEDOL(s)

Quick Code

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Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
MARGUERITE W. KONDRACKE

For
For

2
JOHN E. MAUPIN, JR.

For
For

3

MARILYN B. TAVENNER

For
For

2.
RATIFICATION OF THE SELECTION OF ERNST & YOUNG LLP AS THE COMPANY'S INDEPENDENT
REGISTERED PUBLIC ACCOUNTING FIRM FOR 2015

Management
For
For

3.
ADVISORY VOTE TO APPROVE THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE
OFFICERS AS PRESENTED IN THE PROXY STATEMENT

Management
For
For

4.
APPROVAL OF AN AMENDMENT TO THE COMPANY'S 2013 LONG-TERM INCENTIVE PLAN

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
12,600
0
23-Apr-2015
03-Jun-2015
997AL60
GLV MS PLEDGE
997AL60

STATE STREET BANK & TRUST CO

600

0

23-Apr-2015

03-Jun-2015

WESTERN REFINING, INC.

Security

959319104

Meeting Type

Annual

Ticker Symbol

WNR

Meeting Date

02-Jun-2015

ISIN

US9593191045

Agenda

934197193 - Management

Record Date

14-Apr-2015

Holding Recon Date

14-Apr-2015

City /

Country

/

United States

Vote Deadline Date

01-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
CARIN MARCY BARTH

For
For

2
SIGMUND L. CORNELIUS

For
For

3
PAUL L. FOSTER

For
For

4
L. FREDERICK FRANCIS

For
For

5
ROBERT J. HASSLER

For
For

6
BRIAN J. HOGAN

For
For

7
SCOTT D. WEAVER

For
For

2.
RATIFY THE APPOINTMENT OF DELOITTE & TOUCHE LLP AS THE COMPANY'S INDEPENDENT
AUDITORS FOR FISCAL YEAR 2015.

Management
For
For

3.
APPROVAL OF THE AMENDED AND RESTATED 2010 INCENTIVE PLAN OF WESTERN REFINING, INC.
FOR PURPOSES OF SECTION 162(M) OF THE INTERNAL REVENUE CODE.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27

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GLV
997AL27
STATE STREET BANK & TRUST CO
11,200
0
23-Apr-2015
03-Jun-2015
997AL60
GLV MS PLEDGE
997AL60
STATE STREET BANK & TRUST CO
5,000
0
23-Apr-2015
03-Jun-2015
ALLIANZGI
Security

01883A107

Meeting Type
Annual
Ticker Symbol

NFJ

Meeting Date
02-Jun-2015

ISIN

US01883A1079

Agenda
934216943 - Opposition
Record Date

31-Mar-2015

Holding Recon Date
31-Mar-2015

City /
Country

/
United States

Vote Deadline Date
01-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
HANS W. KERTESS*

For
For

2
WILLIAM B. OGDEN, IV*

For

For

3
F. FORD DRUMMOND@

For
For

4
DAVEY S. SCOON@

For
For

5
JAMES S. MACLEOD*

For
For

6
JULIAN SLUYTERS*

For
For

7
SUSAN M. KING#

For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
69,400
0
06-May-2015

03-Jun-2015

LIBERTY INTERACTIVE CORPORATION

Security

53071M880

Meeting Type

Annual

Ticker Symbol

LVNTA

Meeting Date

02-Jun-2015

ISIN

US53071M8800

Agenda

934216967 - Management

Record Date

07-Apr-2015

Holding Recon Date

07-Apr-2015

City /

Country

/

United States

Vote Deadline Date

01-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
MICHAEL A. GEORGE

For
For

2
GREGORY B. MAFFEI

For
For

3
M. LAVOY ROBISON

For
For

2.
A PROPOSAL TO APPROVE THE ADOPTION OF THE AMENDMENT AND RESTATEMENT OF OUR
RESTATED CERTIFICATE OF INCORPORATION (I) TO CHANGE THE NAME OF THE "INTERACTIVE
GROUP" TO THE "QVC GROUP," (II) TO CHANGE THE NAME OF THE "LIBERTY INTERACTIVE
COMMON STOCK" TO THE "QVC GROUP COMMON STOCK," (III) TO RECLASSIFY EACH ... (DUE TO
SPACE LIMITS, SEE PROXY STATEMENT FOR FULL PROPOSAL)

Management

For

For

3.

A PROPOSAL TO APPROVE THE ADOPTION OF THE AMENDMENT OF OUR CERTIFICATE OF INCORPORATION TO INCREASE (I) THE TOTAL NUMBER OF SHARES OF OUR CAPITAL STOCK WHICH OUR COMPANY WILL HAVE THE AUTHORITY TO ISSUE, (II) THE NUMBER OF SHARES OF OUR CAPITAL STOCK DESIGNATED AS "COMMON STOCK," AND (III) THE NUMBER OF ... (DUE TO SPACE LIMITS, SEE PROXY STATEMENT FOR FULL PROPOSAL)

Management

For

For

4.

A PROPOSAL TO RATIFY THE SELECTION OF KPMG LLP AS OUR INDEPENDENT AUDITORS FOR THE FISCAL YEAR ENDING DECEMBER 31, 2015.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

14,400

0

06-May-2015

03-Jun-2015

SAMSONITE INTERNATIONAL S.A, LUXEMBOURG

Security

L80308106

Meeting Type

Annual General Meeting

Table of Contents

Ticker Symbol

Meeting Date

04-Jun-2015

ISIN

LU0633102719

Agenda

706079402 - Management

Record Date

01-Jun-2015

Holding Recon Date

01-Jun-2015

City /

Country

HONG KONG

/

Luxembourg

Vote Deadline Date

25-May-2015

SEDOL(s)

B4KW2N0 - B4Q1532 - B7T3RP2

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

CMMT
PLEASE NOTE IN THE HONG KONG MARKET THAT A VOTE OF "ABSTAIN" WILL BE TREATED THE SAME AS A "TAKE NO ACTION" VOTE.

Non-Voting

1
TO RECEIVE AND ADOPT THE AUDITED STATUTORY ACCOUNTS AND AUDITED CONSOLIDATED FINANCIAL STATEMENTS OF THE COMPANY AND THE REPORTS OF THE DIRECTORS OF THE COMPANY (THE "DIRECTORS") AND AUDITORS FOR THE YEAR ENDED DECEMBER 31, 2014

Management
For
For

2
TO APPROVE THE ALLOCATION OF THE RESULTS OF THE COMPANY FOR THE YEAR ENDED DECEMBER 31, 2014

Management
For
For

3
TO DECLARE A CASH DISTRIBUTION TO THE SHAREHOLDERS OF THE COMPANY IN AN AMOUNT OF EIGHTY-EIGHT MILLION UNITED STATES DOLLARS (USD 88,000,000.00) OUT OF THE COMPANY'S DISTRIBUTABLE AD HOC RESERVE

Management
For
For

4A
TO RE-ELECT MR. RAMESH DUNGARMAL TAINWALA AS EXECUTIVE DIRECTOR FOR A PERIOD OF THREE YEARS

Management

For
For

4B
TO RE-ELECT MR. MIGUEL KAI KWUN KO AS INDEPENDENT NONEXECUTIVE DIRECTOR FOR A PERIOD OF THREE YEARS

Management
For
For

4C
TO RE-ELECT KEITH HAMILL AS INDEPENDENT NON-EXECUTIVE DIRECTOR FOR A PERIOD OF THREE YEARS

Management
For
For

5
TO RENEW THE MANDATE GRANTED TO KPMG LUXEMBOURG (FORMERLY KPMG LUXEMBOURG S.A R.L.) TO ACT AS APPROVED STATUTORY AUDITOR (REVISEUR D'ENTREPRISES AGREE) OF THE COMPANY FOR THE YEAR ENDING DECEMBER 31, 2015

Management
For
For

6
TO RE-APPOINT KPMG LLP AS THE EXTERNAL AUDITOR OF THE COMPANY TO HOLD OFFICE FROM THE CONCLUSION OF THE ANNUAL GENERAL MEETING UNTIL THE NEXT ANNUAL GENERAL MEETING OF THE COMPANY

Management
For
For

7
TO GIVE A GENERAL MANDATE TO THE DIRECTORS TO ISSUE ADDITIONAL SHARES OF THE COMPANY NOT EXCEEDING 10 PER CENT. OF THE TOTAL NUMBER OF ISSUED SHARES OF THE COMPANY AS AT THE DATE OF THIS RESOLUTION (IN ACCORDANCE WITH THE TERMS AND CONDITIONS DESCRIBED IN THE ANNUAL GENERAL MEETING CIRCULAR)

Management
For
For

8
TO GIVE A GENERAL MANDATE TO THE DIRECTORS TO REPURCHASE SHARES OF THE COMPANY NOT EXCEEDING 10 PER CENT. OF THE TOTAL NUMBER OF ISSUED SHARES OF THE COMPANY AS AT THE DATE OF THIS RESOLUTION (IN ACCORDANCE WITH THE TERMS AND CONDITIONS

DESCRIBED IN THE ANNUAL GENERAL MEETING CIRCULAR)

Management

For

For

9

TO APPROVE THE DISCHARGE GRANTED TO THE DIRECTORS AND THE APPROVED STATUTORY AUDITOR (REVISEUR D'ENTREPRISES AGREE) OF THE COMPANY FOR THE EXERCISE OF THEIR RESPECTIVE MANDATES DURING THE YEAR ENDED DECEMBER 31, 2014

Management

For

For

10

TO APPROVE THE REMUNERATION TO BE GRANTED TO CERTAIN DIRECTORS OF THE COMPANY

Management

For

For

11

TO APPROVE THE REMUNERATION TO BE GRANTED TO KPMG LUXEMBOURG AS THE APPROVED STATUTORY AUDITOR (REVISEUR D'ENTREPRISES AGREE) OF THE COMPANY

Management

For

For

CMMT

28 APR 2015: PLEASE NOTE THAT THE COMPANY NOTICE ARE AVAILABLE BY CLICKING ON-THE URL LINKS: <http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0424/LTN20-1504241488.pdf> AND <http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0424/L-TN201504241506.pdf>

Non-Voting

CMMT

30 APR 2015: PLEASE NOTE THAT THIS IS A REVISION DUE TO RECEIPT OF ADDITIONAL- URL LINK AND CHANGE IN MEETING TIME AND LOCATION. IF YOU HAVE ALREADY SENT IN-YOUR VOTES, PLEASE DO NOT VOTE AGAIN UNLESS YOU DECIDE TO AMEND YOUR ORIGINAL-INSTRUCTIONS. THANK YOU.

Non-Voting

Account Number

Account Name

Internal Account

Custodian

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Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

210,900

0

28-Apr-2015

02-Jun-2015

LADDER CAPITAL CORP

Security

505743104

Meeting Type

Annual

Ticker Symbol

LADR

Meeting Date

04-Jun-2015

ISIN

US5057431042

Agenda

934194262 - Management

Record Date

08-Apr-2015

Holding Recon Date

08-Apr-2015

City /

Country

/

United States

Vote Deadline Date

03-Jun-2015

SEDOL(s)

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Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
RE-ELECTION OF THE MEMBER OF THE BOARD OF DIRECTORS: HOWARD PARK

Management
For
For

1B.
RE-ELECTION OF THE MEMBER OF THE BOARD OF DIRECTORS: DOUGLAS DURST

Management
For
For

2.

TO APPROVE AN AMENDMENT TO THE SECOND AMENDED AND RESTATED CERTIFICATE OF INCORPORATION TO AMEND THE PAR VALUE OF THE CLASS B SHARES FROM NO PAR VALUE PER SHARE TO \$0.001 PER SHARE.

Management

For

For

3.

TO RATIFY THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLP AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR 2015.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

10,100

0

21-Apr-2015

05-Jun-2015

ACCELERON PHARMA INC.

Security

00434H108

Meeting Type

Annual

Ticker Symbol

XLRN

Meeting Date

04-Jun-2015

ISIN

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US00434H1086

Agenda
934194870 - Management
Record Date

13-Apr-2015

Holding Recon Date
13-Apr-2015

City /
Country

/
United States

Vote Deadline Date
03-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
TERRENCE C. KEARNEY

2
JOHN L. KNOPF, PH.D.

3
TERRANCE G. MCGUIRE

2.
TO APPROVE, ON AN ADVISORY BASIS, THE FREQUENCY OF HOLDING A VOTE ON THE
COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS.

Management

3.
TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS THE COMPANY'S INDEPENDENT
REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2015.

Management

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

10,500

0

SALESFORCE.COM, INC.
Security

79466L302

Meeting Type
Annual
Ticker Symbol

CRM

Meeting Date
04-Jun-2015

ISIN

US79466L3024

Agenda
934194957 - Management
Record Date

09-Apr-2015

Holding Recon Date
09-Apr-2015

City /
Country

/
United States

Vote Deadline Date
03-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: MARC R. BENIOFF

Management
For
For

1B.
ELECTION OF DIRECTOR: KEITH G. BLOCK

Management
For
For

1C.
ELECTION OF DIRECTOR: CRAIG A. CONWAY

Management
For
For

1D.
ELECTION OF DIRECTOR: ALAN G. HASSENFELD

Management
For
For

1E.
ELECTION OF DIRECTOR: COLIN L. POWELL

Management

For

For

1F.

ELECTION OF DIRECTOR: SANFORD R. ROBERTSON

Management

For

For

1G.

ELECTION OF DIRECTOR: JOHN V. ROOS

Management

For

For

1H.

ELECTION OF DIRECTOR: LAWRENCE J. TOMLINSON

Management

For

For

1I.

ELECTION OF DIRECTOR: ROBIN L. WASHINGTON

Management

For

For

1J.

ELECTION OF DIRECTOR: MAYNARD G. WEBB

Management

For

For

1K.

ELECTION OF DIRECTOR: SUSAN D. WOJCICKI

Management

For

For

2.

APPROVAL OF AN AMENDMENT TO INCREASE THE SHARES AVAILABLE FOR GRANT UNDER THE COMPANY'S 2013 EQUITY INCENTIVE PLAN

Management
For
For

3.
APPROVAL OF AN AMENDMENT TO INCREASE THE SHARES AVAILABLE FOR PURCHASE UNDER
THE COMPANY'S EMPLOYEE STOCK PURCHASE PLAN

Management
For
For

4.
RATIFICATION OF THE APPOINTMENT OF ERNST & YOUNG LLP AS INDEPENDENT AUDITORS

Management
For
For

5.
ADVISORY VOTE TO APPROVE EXECUTIVE COMPENSATION

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
6,600
0
18-Apr-2015
05-Jun-2015
997AL60
GLV MS PLEDGE
997AL60
STATE STREET BANK & TRUST CO
30,000

0

18-Apr-2015

05-Jun-2015

TEKLA CAPITAL MANAGEMENT LLC

Security

879105104

Meeting Type

Annual

Ticker Symbol

THQ

Meeting Date

04-Jun-2015

ISIN

US8791051043

Agenda

934210989 - Management

Record Date

24-Apr-2015

Holding Recon Date

24-Apr-2015

City /

Country

/

United States

Vote Deadline Date

03-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
OLEG M. POHOTSKY

For
For

2
WILLIAM S. REARDON, CPA

For
For

2.
THE RATIFICATION OR REJECTION OF THE SELECTION OF DELOITTE & TOUCHE LLP AS THE
INDEPENDENT REGISTERED PUBLIC ACCOUNTANTS OF THE FUND FOR THE FISCAL YEAR ENDING
SEPTEMBER 30, 2015

Management
For
For

Account Number

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Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

50,636

0

30-Apr-2015

05-Jun-2015

PENNYMAC MORTGAGE INVESTMENT TRUST

Security

70931T103

Meeting Type

Annual

Ticker Symbol

PMT

Meeting Date

05-Jun-2015

ISIN

US70931T1034

Agenda

934194060 - Management

Record Date

06-Apr-2015

Holding Recon Date

06-Apr-2015

City /

Country

/

United States

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Vote Deadline Date
04-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
STANFORD L. KURLAND

For
For

2

DAVID A. SPECTOR

For

For

3

RANDALL D. HADLEY

For

For

4

CLAY A. HALVORSEN

For

For

2.

TO RATIFY THE APPOINTMENT OF DELOITTE & TOUCHE LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2015.

Management

For

For

3.

TO APPROVE, BY NON-BINDING VOTE, OUR EXECUTIVE COMPENSATION.

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL60

GLV MS PLEDGE

997AL60

STATE STREET BANK & TRUST CO

25,000

0

18-Apr-2015
08-Jun-2015
ACTAVIS PLC
Security

G0083B108

Meeting Type
Annual
Ticker Symbol

ACT

Meeting Date
05-Jun-2015

ISIN

IE00BD1NQJ95

Agenda
934199286 - Management
Record Date

10-Apr-2015

Holding Recon Date
10-Apr-2015

City /
Country

/
United States

Vote Deadline Date
04-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: PAUL M. BISARO

Management
For
For

1B.
ELECTION OF DIRECTOR: NESLI BASGOZ, M.D.

Management
For
For

1C.
ELECTION OF DIRECTOR: JAMES H. BLOEM

Management
For
For

1D.
ELECTION OF DIRECTOR: CHRISTOPHER W. BODINE

Management
For
For

1E.
ELECTION OF DIRECTOR: CHRISTOPHER J. COUGHLIN

Management
For
For

1F.
ELECTION OF DIRECTOR: MICHAEL R. GALLAGHER

Management
For
For

1G.
ELECTION OF DIRECTOR: CATHERINE M. KLEMA

Management
For
For

1H.
ELECTION OF DIRECTOR: PETER J. MCDONNELL, M.D.

Management
For
For

1I.
ELECTION OF DIRECTOR: PATRICK J. O'SULLIVAN

Management
For
For

1J.
ELECTION OF DIRECTOR: BRENTON L. SAUNDERS

Management
For
For

1K.
ELECTION OF DIRECTOR: RONALD R. TAYLOR

Management
For
For

1L.
ELECTION OF DIRECTOR: FRED G. WEISS

Management

For

For

2.

TO APPROVE, IN A NON-BINDING VOTE, NAMED EXECUTIVE OFFICER COMPENSATION.

Management

For

For

3.

TO RATIFY, IN A NON-BINDING VOTE, THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2015 AND TO AUTHORIZE, IN A BINDING VOTE, THE BOARD OF DIRECTORS, ACTING THROUGH THE AUDIT AND COMPLIANCE COMMITTEE, TO DETERMINE PRICEWATERHOUSECOOPERS LLP'S REMUNERATION.

Management

For

For

4.

TO PASS A SPECIAL RESOLUTION TO APPROVE, SUBJECT TO THE APPROVAL OF THE REGISTRAR OF COMPANIES IN IRELAND, THE CHANGE IN NAME OF THE COMPANY FROM ACTAVIS PLC TO ALLERGAN PLC.

Management

For

For

5.

TO APPROVE THE AMENDED AND RESTATED 2013 INCENTIVE AWARD PLAN OF ACTAVIS PLC.

Management

For

For

6.

TO VOTE ON A SHAREHOLDER PROPOSAL REQUESTING THE COMPANY TO ISSUE A SUSTAINABILITY REPORT.

Shareholder

Against

For

7.

TO VOTE ON A SHAREHOLDER PROPOSAL REQUESTING THE COMPANY TO ADOPT SUCH SHAREHOLDER'S POLICY REGARDING EXECUTIVE STOCK RETENTION.

Shareholder
Against
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
900
0
25-Apr-2015
08-Jun-2015
997AL60
GLV MS PLEDGE
997AL60
STATE STREET BANK & TRUST CO
6,000
0
25-Apr-2015
08-Jun-2015
PUMA BIOTECHNOLOGY, INC.
Security

74587V107

Meeting Type
Annual
Ticker Symbol

PBYI

Meeting Date
09-Jun-2015

ISIN

US74587V1070

Agenda

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934201194 - Management
Record Date

17-Apr-2015

Holding Recon Date
17-Apr-2015

City /
Country

/
United States

Vote Deadline Date
08-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
ALAN H. AUERBACH

For
For

2
THOMAS R. MALLEY

For
For

3
JAY M. MOYES

For
For

4
TROY E. WILSON

For
For

2.
ADVISORY (NON-BINDING) VOTE TO APPROVE THE COMPENSATION OF PUMA BIOTECHNOLOGY, INC.'S NAMED EXECUTIVE OFFICERS.

Management

For
For

3.
RATIFICATION OF THE SELECTION OF PKF CERTIFIED PUBLIC ACCOUNTANTS, A PROFESSIONAL CORPORATION, AS INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM OF PUMA BIOTECHNOLOGY, INC. FOR THE FISCAL YEAR ENDING DECEMBER 31, 2015.

Management

For
For

4.
APPROVAL OF AN AMENDMENT TO THE PUMA BIOTECHNOLOGY, INC. 2011 INCENTIVE AWARD PLAN.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL60
GLV MS PLEDGE
997AL60
STATE STREET BANK & TRUST CO
4,000
0
01-May-2015
10-Jun-2015
SEAWORLD ENTERTAINMENT, INC.
Security

81282V100

Meeting Type
Annual
Ticker Symbol

SEAS

Meeting Date
10-Jun-2015

ISIN

US81282V1008

Agenda
934202982 - Management
Record Date

15-Apr-2015

Holding Recon Date
15-Apr-2015

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City /
Country

/
United States

Vote Deadline Date
09-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
JIM ATCHISON

For
For

2
WILLIAM GRAY

For
For

3
THOMAS E. MOLONEY

For
For

2.
RATIFICATION OF THE APPOINTMENT OF DELOITTE & TOUCHE LLP AS OUR INDEPENDENT
REGISTERED PUBLIC ACCOUNTING FIRM FOR 2015.

Management
For
For

3.
APPROVAL, IN A NON-BINDING ADVISORY VOTE, OF THE COMPENSATION PAID TO THE NAMED
EXECUTIVE OFFICERS.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
18,600

0
29-Apr-2015
11-Jun-2015
997AL60
GLV MS PLEDGE
997AL60
STATE STREET BANK & TRUST CO
27,500
0
29-Apr-2015
11-Jun-2015
BEIJING ENTERPRISES HOLDINGS LTD
Security

Y07702122

Meeting Type
Annual General Meeting
Ticker Symbol

Meeting Date
11-Jun-2015

ISIN

HK0392044647

Agenda
706150593 - Management
Record Date

04-Jun-2015

Holding Recon Date
04-Jun-2015

City /
Country

HONG KONG
/
Hong Kong

Vote Deadline Date
28-May-2015

SEDOL(s)

5404447 - 6081690 - B2Q3X07 - BP3RP30
Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

CMMT

PLEASE NOTE IN THE HONG KONG MARKET THAT A VOTE OF "ABSTAIN" WILL BE TREATED-THE SAME AS A "TAKE NO ACTION" VOTE.

Non-Voting

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- [http://www.hkexnews.hk/listedco/listconews/sehk/ 2015/0511/LTN20150511197.pdf](http://www.hkexnews.hk/listedco/listconews/sehk/2015/0511/LTN20150511197.pdf)-AND-
[http://www.hkexnews.hk/listedco/listconews/sehk/ 2015/0511/LTN20150511193.pdf](http://www.hkexnews.hk/listedco/listconews/sehk/2015/0511/LTN20150511193.pdf)

Non-Voting

1

TO RECEIVE THE AUDITED CONSOLIDATED FINANCIAL STATEMENTS AND REPORTS OF THE DIRECTORS AND OF THE AUDITORS FOR THE YEAR ENDED 31 DECEMBER 2014

Management
For

For

2

TO DECLARE A FINAL DIVIDEND

Management

For

For

3.1

TO RE-ELECT MR. WANG DONG AS DIRECTOR

Management

For

For

3.2

TO RE-ELECT MR. JIANG XINHAO AS DIRECTOR

Management

For

For

3.3

TO RE-ELECT MR. WU JIESI AS DIRECTOR

Management

For

For

3.4

TO RE-ELECT MR. LAM HOI HAM AS DIRECTOR

Management

For

For

3.5

TO RE-ELECT MR. SZE CHI CHING AS DIRECTOR

Management

For

For

3.6

TO RE-ELECT MR. SHI HANMIN AS DIRECTOR

Management

For

For

3.7

TO AUTHORISE THE BOARD OF DIRECTORS TO FIX DIRECTORS' REMUNERATION

Management

For

For

4

TO RE-APPOINT MESSRS. ERNST & YOUNG AS AUDITORS AND TO AUTHORISE THE BOARD OF DIRECTORS TO FIX THEIR REMUNERATION

Management

For

For

5

TO GIVE A GENERAL MANDATE TO THE DIRECTORS TO BUY BACK SHARES NOT EXCEEDING 10% OF THE TOTAL NUMBER OF SHARES OF THE COMPANY IN ISSUE ON THE DATE OF THIS RESOLUTION

Management

For

For

6

TO GIVE A GENERAL MANDATE TO THE DIRECTORS TO ISSUE, ALLOT AND DEAL WITH ADDITIONAL SHARES NOT EXCEEDING 20% OF THE TOTAL NUMBER OF SHARES OF THE COMPANY IN ISSUE ON THE DATE OF THIS RESOLUTION

Management

For

For

7

TO EXTEND THE GENERAL MANDATE GRANTED TO THE DIRECTORS TO ISSUE SHARES IN THE CAPITAL OF THE COMPANY BY THE NUMBER OF SHARES BOUGHT BACK

Management

For

For

8

TO ADOPT THE NEW ARTICLES OF ASSOCIATION IN SUBSTITUTION FOR AND TO THE EXCLUSION OF THE EXISTING MEMORANDUM AND CURRENT ARTICLES OF ASSOCIATION OF THE COMPANY AND TO ABANDON THE OBJECT CLAUSE CONTAINED IN THE EXISTING MEMORANDUM OF ASSOCIATION OF THE COMPANY

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

79,000

0

19-May-2015

09-Jun-2015

FACEBOOK INC.

Security

30303M102

Meeting Type

Annual

Ticker Symbol

FB

Meeting Date

11-Jun-2015

ISIN

US30303M1027

Agenda

934204378 - Management

Record Date

13-Apr-2015

Holding Recon Date

13-Apr-2015

City /

Country

/

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United States

Vote Deadline Date
10-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
MARC L. ANDREESSEN

For
For

Table of Contents

2

ERSKINE B. BOWLES

For

For

3

S.D. DESMOND-HELLMANN

For

For

4

REED HASTINGS

For

For

5

JAN KOUM

For

For

6

SHERYL K. SANDBERG

For

For

7

PETER A. THIEL

For

For

8

MARK ZUCKERBERG

For

For

2.

TO RATIFY THE APPOINTMENT OF ERNST & YOUNG LLP AS FACEBOOK, INC.'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2015

Management

For

For

3.
TO RE-APPROVE THE INTERNAL REVENUE CODE OF 1986, AS AMENDED, SECTION 162(M) LIMITS OF
OUR 2012 EQUITY INCENTIVE PLAN TO PRESERVE OUR ABILITY TO RECEIVE CORPORATE INCOME
TAX DEDUCTIONS THAT MAY BECOME AVAILABLE PURSUANT TO SECTION 162(M)

Management

For

For

4.
A STOCKHOLDER PROPOSAL REGARDING CHANGE IN STOCKHOLDER VOTING

Shareholder

Against

For

5.
A STOCKHOLDER PROPOSAL REGARDING AN ANNUAL SUSTAINABILITY REPORT

Shareholder

Against

For

6.
A STOCKHOLDER PROPOSAL REGARDING A HUMAN RIGHTS RISK ASSESSMENT

Shareholder

Against

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL60

GLV MS PLEDGE

997AL60

STATE STREET BANK & TRUST CO

16,300

0

28-Apr-2015

12-Jun-2015

INTREXON CORPORATION

Security

46122T102

Meeting Type

Annual

Ticker Symbol

XON

Meeting Date

11-Jun-2015

ISIN

US46122T1025

Agenda

934210903 - Management

Record Date

16-Apr-2015

Holding Recon Date

16-Apr-2015

City /

Country

/

United States

Vote Deadline Date

10-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1A.
ELECTION OF DIRECTOR: RANDAL J. KIRK

Management

1B.
ELECTION OF DIRECTOR: CESAR L. ALVAREZ

Management

1C.
ELECTION OF DIRECTOR: STEVEN FRANK

Management

1D.
ELECTION OF DIRECTOR: LARRY D. HORNER

Management

1E.
ELECTION OF DIRECTOR: JEFFREY B. KINDLER

Management

1F.
ELECTION OF DIRECTOR: DEAN J. MITCHELL

Management

1G.

Table of Contents

ELECTION OF DIRECTOR: ROBERT B. SHAPIRO

Management

1H.
ELECTION OF DIRECTOR: JAMES S. TURLEY

Management

2.
TO APPROVE A NON-BINDING ADVISORY RESOLUTION APPROVING THE COMPENSATION OF THE NAMED EXECUTIVE OFFICERS

Management

3.
TO PROVIDE A NON-BINDING ADVISORY VOTE AS TO THE FREQUENCY (EVERY ONE, TWO OR THREE YEARS) OF THE NON- BINDING SHAREHOLDER VOTE TO APPROVE THE COMPENSATION OF OUR NAMED EXECUTIVE OFFICERS

Management

4.
TO RATIFY THE APPOINTMENT BY THE AUDIT COMMITTEE OF ... (DUE TO SPACE LIMITS, SEE PROXY STATEMENT FOR FULL PROPOSAL)

Management

5.
TO APPROVE THE AMENDMENT TO THE AMENDED AND RESTATED INTREXON CORPORATION 2013 OMNIBUS INCENTIVE PLAN, WHICH PROVIDES FOR THE ISSUANCE OF AN ADDITIONAL THREE MILLION SHARES OF COMMON STOCK UNDER THE PLAN.

Management

6.
TO APPROVE THE INTREXON CORPORATION ANNUAL EXECUTIVE INCENTIVE PLAN

Management

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date

Table of Contents

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

8,300

0

CHENIERE ENERGY, INC.

Security

16411R208

Meeting Type

Annual

Ticker Symbol

LNG

Meeting Date

11-Jun-2015

ISIN

US16411R2085

Agenda

934212248 - Management

Record Date

13-Apr-2015

Holding Recon Date

13-Apr-2015

City /

Country

/

United States

Vote Deadline Date

10-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.1
ELECTION OF DIRECTOR: CHARIF SOUKI

Management
For
For

1.2
ELECTION OF DIRECTOR: VICKY A. BAILEY

Management
For
For

1.3
ELECTION OF DIRECTOR: G. ANDREA BOTTA

Management
For
For

1.4

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ELECTION OF DIRECTOR: NUNO BRANDOLINI

Management

For

For

1.5

ELECTION OF DIRECTOR: DAVID I. FOLEY

Management

For

For

1.6

ELECTION OF DIRECTOR: DAVID B. KILPATRICK

Management

For

For

1.7

ELECTION OF DIRECTOR: DONALD F. ROBILLARD, JR

Management

For

For

1.8

ELECTION OF DIRECTOR: NEAL A. SHEAR

Management

For

For

1.9

ELECTION OF DIRECTOR: HEATHER R. ZICHAL

Management

For

For

2.

APPROVE, ON AN ADVISORY AND NON- BINDING BASIS, THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS FOR FISCAL YEAR 2014 AS DISCLOSED IN THE PROXY STATEMENT.

Management

For

For

3.

RATIFICATION OF THE APPOINTMENT OF KPMG LLP AS THE COMPANY'S INDEPENDENT
REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2015.

Management

For

For

4.

SHAREHOLDER PROPOSAL RECOMMENDING THAT THE BOARD ADOPT A PROXY ACCESS BYLAW.

Shareholder

Against

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

997AL27

GLV

997AL27

STATE STREET BANK & TRUST CO

12,100

0

01-May-2015

12-Jun-2015

BOC HONG KONG (HOLDINGS) LTD, HONG KONG

Security

Y0920U103

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

16-Jun-2015

ISIN

HK2388011192

Agenda

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705999348 - Management
Record Date

10-Jun-2015

Holding Recon Date
10-Jun-2015

City /
Country

HONG KONG
/
Hong Kong

Vote Deadline Date
02-Jun-2015

SEDOL(s)

6536112 - B01XWZ6 - B06MVT5 - B16MTV0 - BP3RP41
Quick Code

Item
Proposal

Proposed by

Vote

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For/Against Management

CMMT

PLEASE NOTE IN THE HONG KONG MARKET THAT A VOTE OF "ABSTAIN" WILL BE TREATED THE SAME AS A "TAKE NO ACTION" VOTE.

Non-Voting

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING ON THE URL LINKS: <http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0410/LTN-20150410571.pdf> AND <http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0410/-LTN20150410561.pdf>

Non-Voting

1

TO RECEIVE AND CONSIDER THE AUDITED STATEMENT OF ACCOUNTS AND THE REPORTS OF DIRECTORS AND OF THE AUDITOR OF THE COMPANY FOR THE YEAR ENDED 31 DECEMBER 2014

Management

For

For

2

TO DECLARE A FINAL DIVIDEND OF HKD 0.575 PER SHARE FOR THE YEAR ENDED 31 DECEMBER 2014

Management

For

For

3.A

TO RE-ELECT MR. CHEN SIQING AS A DIRECTOR OF THE COMPANY

Management

For

For

3.B

TO RE-ELECT MR. KOH BENG SENG AS A DIRECTOR OF THE COMPANY

Management

For

For

3.C

TO RE-ELECT MR. TUNG SAVIO WAI-HOK AS A DIRECTOR OF THE COMPANY

Management

For
For

3.D
TO RE-ELECT MDM. CHENG EVA AS A DIRECTOR OF THE COMPANY

Management
For
For

3.E
TO RE-ELECT MR. LI JIUZHONG AS A DIRECTOR OF THE COMPANY

Management
For
For

4
TO RE-APPOINT ERNST & YOUNG AS AUDITOR OF THE COMPANY AND AUTHORISE THE BOARD OF DIRECTORS OR A DULY AUTHORISED COMMITTEE OF THE BOARD TO DETERMINE THE REMUNERATION OF THE AUDITOR

Management
For
For

5
TO GRANT A GENERAL MANDATE TO THE BOARD OF DIRECTORS TO ALLOT, ISSUE AND DEAL WITH ADDITIONAL SHARES IN THE COMPANY, NOT EXCEEDING 20% OR, IN THE CASE OF ISSUE OF SHARES SOLELY FOR CASH AND UNRELATED TO ANY ASSET ACQUISITION, NOT EXCEEDING 5% OF THE TOTAL NUMBER OF SHARES OF THE COMPANY IN ISSUE AS AT THE DATE OF PASSING THIS RESOLUTION

Management
For
For

6
TO GRANT A GENERAL MANDATE TO THE BOARD OF DIRECTORS TO BUY BACK SHARES IN THE COMPANY, NOT EXCEEDING 10% OF THE TOTAL NUMBER OF SHARES OF THE COMPANY IN ISSUE AS AT THE DATE OF PASSING THIS RESOLUTION

Management
For
For

7
CONDITIONAL ON THE PASSING OF RESOLUTIONS 5 AND 6, TO EXTEND THE GENERAL MANDATE GRANTED BY RESOLUTION 5 BY ADDING THERETO OF THE TOTAL NUMBER OF SHARES OF THE COMPANY BOUGHT BACK UNDER THE GENERAL MANDATE GRANTED PURSUANT TO RESOLUTION 6

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
145,000
0
11-Apr-2015
12-Jun-2015
INTRA-CELLULAR THERAPIES INC
Security

46116X101

Meeting Type
Annual
Ticker Symbol

ITCI

Meeting Date
16-Jun-2015

ISIN

US46116X1019

Agenda
934212717 - Management
Record Date

24-Apr-2015

Holding Recon Date
24-Apr-2015

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City /
Country

/
United States

Vote Deadline Date
15-Jun-2015

SEDOL(s)

Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

1.
DIRECTOR

Management

1
CHRISTOPHER ALAFI, PH.D

For
For

2
JOEL S. MARCUS

For
For

2.
TO APPROVE AMENDMENTS TO THE INTRA- CELLULAR THERAPIES, INC. 2013 EQUITY INCENTIVE PLAN (THE "PLAN") TO INCREASE THE NUMBER OF SHARES OF OUR COMMON STOCK RESERVED FOR ISSUANCE UNDER THE PLAN AND TO INCREASE THE MAXIMUM NUMBER OF SHARES AVAILABLE FOR ISSUANCE OF OPTIONS, STOCK APPRECIATION RIGHTS AND OTHER SIMILAR ... (DUE TO SPACE LIMITS, SEE PROXY STATEMENT FOR FULL PROPOSAL)

Management
For
For

3.
PROPOSAL TO RATIFY THE APPOINTMENT OF ERNST & YOUNG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2015.

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
997AL27
GLV
997AL27
STATE STREET BANK & TRUST CO
19,700
0
08-May-2015

17-Jun-2015
SINOPHARM GROUP CO LTD
Security

Y8008N107

Meeting Type
Annual General Meeting
Ticker Symbol

Meeting Date
18-Jun-2015

ISIN

CNE100000FN7

Agenda
706106641 - Management
Record Date

18-May-2015

Holding Recon Date
18-May-2015

City /
Country

SHANGHA I
/
China

Vote Deadline Date
09-Jun-2015

SEDOL(s)

B3ZVDV0 - B4M8B73 - B5NVZ21 - BP3RXT2
Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

CMMT

PLEASE NOTE IN THE HONG KONG MARKET THAT A VOTE OF "ABSTAIN" WILL BE TREATED-THE SAME AS A "TAKE NO ACTION" VOTE

Non-Voting

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING-ON THE URL LINKS:- <http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0430/LTN20150430506.pdf>-AND-
<http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0430/LTN20150430566.pdf>

Non-Voting

1

TO CONSIDER AND APPROVE THE REPORT OF THE BOARD OF DIRECTORS OF THE COMPANY (THE "BOARD") FOR THE YEAR ENDED 31 DECEMBER 2014

Management
For
For

2

TO CONSIDER AND APPROVE THE REPORT OF THE SUPERVISORY COMMITTEE OF THE COMPANY (THE "SUPERVISORY COMMITTEE") FOR THE YEAR ENDED 31 DECEMBER 2014

Management
For
For

3

TO CONSIDER AND APPROVE THE AUDITED FINANCIAL STATEMENTS OF THE COMPANY AND ITS SUBSIDIARIES FOR THE YEAR ENDED 31 DECEMBER 2014 AND THE AUDITORS' REPORT

Management

For

For

4

TO CONSIDER AND APPROVE THE PROFIT DISTRIBUTION PLAN AND PAYMENT OF THE FINAL DIVIDEND FOR THE YEAR ENDED 31 DECEMBER 2014

Management

For

For

5

TO CONSIDER AND APPROVE THE RE- APPOINTMENT OF PRICEWATERHOUSECOOPERS ZHONG TIAN LLP AS THE DOMESTIC AUDITOR OF THE COMPANY TO HOLD OFFICE UNTIL CONCLUSION OF THE NEXT ANNUAL GENERAL MEETING, AND TO RATIFY AND CONFIRM ITS REMUNERATION DETERMINED BY THE AUDIT COMMITTEE OF THE BOARD

Management

For

For

6

TO CONSIDER AND APPROVE THE RE- APPOINTMENT OF PRICEWATERHOUSECOOPERS CERTIFIED PUBLIC ACCOUNTANTS, HONG KONG AS THE INTERNATIONAL AUDITOR OF THE COMPANY TO HOLD OFFICE UNTIL CONCLUSION OF THE NEXT ANNUAL GENERAL MEETING, AND TO RATIFY AND CONFIRM ITS REMUNERATION DETERMINED BY THE AUDIT COMMITTEE OF THE BOARD

Management

For

For

7

TO CONSIDER AND AUTHORIZE THE BOARD TO DETERMINE THE REMUNERATION OF THE DIRECTORS OF THE COMPANY (THE "DIRECTORS") FOR THE YEAR ENDING 31 DECEMBER 2015

Management

For

For

8

TO CONSIDER AND AUTHORIZE THE SUPERVISORY COMMITTEE TO DETERMINE THE REMUNERATION OF THE SUPERVISORS OF THE COMPANY (THE "SUPERVISORS") FOR THE YEAR ENDING 31 DECEMBER 2015

Management

For

For

9

TO CONSIDER AND APPROVE THE DELEGATION OF THE POWER TO THE BOARD TO APPROVE THE GUARANTEES IN FAVOUR OF THIRD PARTIES WITH AN AGGREGATE TOTAL VALUE OF NOT MORE THAN 30% OF THE LATEST AUDITED TOTAL ASSETS OF THE COMPANY OVER A PERIOD OF 12 MONTHS; AND IF THE ABOVE DELEGATION IS NOT CONSISTENT WITH, COLLIDES WITH OR CONFLICTS WITH THE REQUIREMENTS UNDER THE RULES GOVERNING THE LISTING OF SECURITIES (THE "HONG KONG LISTING RULES") ON THE STOCK EXCHANGE OF HONG KONG LIMITED (THE "HONG KONG STOCK EXCHANGE") OR OTHER REQUIREMENTS OF THE HONG KONG STOCK EXCHANGE, THE REQUIREMENTS UNDER THE HONG KONG LISTING RULES OR OTHER REQUIREMENTS OF THE HONG KONG STOCK EXCHANGE SHOULD BE FOLLOWED

Management

For

For

10

TO CONSIDER AND APPROVE THE AMENDMENT TO THE RULES OF PROCEDURE OF THE SUPERVISORY COMMITTEE

Management

For

For

11

TO CONSIDER AND, IF THOUGHT FIT, TO APPROVE THE APPOINTMENT OF MR. TAO WUPING AS AN INDEPENDENT SUPERVISOR, AND TO AUTHORIZE THE CHAIRMAN OF THE BOARD OR ANY EXECUTIVE DIRECTOR OF THE COMPANY TO ENTER INTO THE SERVICE CONTRACT OR SUCH OTHER DOCUMENTS OR SUPPLEMENTAL AGREEMENTS OR DEEDS WITH HIM

Management

For

For

12

TO CONSIDER AND APPROVE THE AMENDMENTS TO THE ARTICLES OF ASSOCIATION OF THE COMPANY (THE "ARTICLES OF ASSOCIATION")

Management

For

For

13

TO CONSIDER AND APPROVE TO GRANT A GENERAL MANDATE TO THE BOARD TO EXERCISE THE POWER OF THE COMPANY TO ALLOT, ISSUE AND/OR DEAL WITH DOMESTIC SHARES AND/OR H SHARES. (DETAILS OF THIS RESOLUTION WERE CONTAINED IN THE NOTICE OF THE AGM DATED 30 APRIL 2015 (THE "NOTICE"))

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

200,800

0

01-May-2015

12-Jun-2015

HOYA CORPORATION

Security

J22848105

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

19-Jun-2015

ISIN

JP3837800006

Agenda

706205247 - Management

Record Date

31-Mar-2015

Holding Recon Date

31-Mar-2015

City /

Country

TOKYO

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/
Japan

Vote Deadline Date
03-Jun-2015

SEDOL(s)

5689374 - 6441506 - B02GXJ5
Quick Code
77410

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials. Please note Mr. Uchinaga, Mr. Urano and Mr. Takasu, the candidates for Directors listed in Proposal No.5 proposed by shareholders are also listed as the candidates for Directors #2, #3 and #4 respectively in Proposal No.1 proposed by the Company. If any indication regarding #8, #9 and #10 was made in the column in Proposal No.5, such indication will be treated as invalid.

Non-Voting

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1.1

Appoint a Director Koeda, Itaru

Management

For

For

1.2

Appoint a Director Uchinaga, Yukako

Management

For

For

1.3

Appoint a Director Urano, Mitsudo

Management

For

For

1.4

Appoint a Director Takasu, Takeo

Management

For

For

1.5

Appoint a Director Kaihori, Shuzo

Management

For

For

1.6

Appoint a Director Suzuki, Hiroshi

Management

For

For

2

Amend Articles to: Expand Business Lines

Management

For

For

3

Amend Articles to: Adopt Reduction of Liability System for Non-Executive Directors

Management

For

For

4.1

Shareholder Proposal: Dismiss a Director Suzuki, Hiroshi

Shareholder

Against

For

4.2

Shareholder Proposal: Dismiss a Director Kodama, Yukiharu

Shareholder

Against

For

4.3

Shareholder Proposal: Dismiss a Director Koeda, Itaru

Shareholder

Against

For

4.4

Shareholder Proposal: Dismiss a Director Aso, Yutaka

Shareholder

Against

For

4.5

Shareholder Proposal: Dismiss a Director Urano, Mitsudo

Shareholder

Against

For

4.6

Shareholder Proposal: Dismiss a Director Uchinaga, Yukako

Shareholder

Against

For

5

Shareholder Proposal: Elect a Director Takayama, Taizo

Shareholder
Against
For

6

Shareholder Proposal: Amend Articles of Incorporation (Individual Disclosure of Executive Compensation)

Shareholder
Against
For

7

Shareholder Proposal: Amend Articles of Incorporation (Separation of Roles of Chairperson of the Board of Directors and President & CEO)

Shareholder
Against
For

8

Shareholder Proposal: Amend Articles of Incorporation (Disclosure of Information regarding the Decision-making policy on compensation for Directors and Executive Officers)

Shareholder
Against
For

9

Shareholder Proposal: Amend Articles of Incorporation (Directors Mandatory Retirement at 70 Years of Age)

Shareholder
Against
For

10

Shareholder Proposal: Amend Articles of Incorporation (Appointment of Directors aged 40 or younger)

Shareholder
Against
For

11

Shareholder Proposal: Amend Articles of Incorporation (Provision relating to the Structure allowing Shareholders to Recommend Candidates for Directors to the Nomination Committee and Equal Treatment)

Shareholder
Against
For

12

Shareholder Proposal: Amend Articles of Incorporation (Provision relating to Communication between Shareholders and Directors and Relevant Handling)

Shareholder

Against

For

13

Shareholder Proposal: Amend Articles of Incorporation (Disclosure of Relationship with the Employee Stock Ownership Association of HOYA CORPORATION)

Shareholder

Against

For

14

Shareholder Proposal: Not to Reappoint the Accounting Auditor

Shareholder

Against

For

15

Shareholder Proposal: Amend Articles of Incorporation(Establishment of a Special Committee relating to Handling of Shareholder Proposal Rights)

Shareholder

Against

For

16

Shareholder Proposal: Amend Articles of Incorporation (Establishment of a Special Committee relating to the Relationship between the Company and Mr. Katsutoshi Kaneda)

Shareholder

Against

For

17

Shareholder Proposal: Amend Articles of Incorporation (Establishment of a Special Committee relating to Requests to Tape Rewrite Co., Ltd.)

Shareholder

Against

For

18

Shareholder Proposal: Amend Articles of Incorporation (Establishment of a Special Committee relating to Discontinuation of Inorganic EL research)

Shareholder

Against
For

19
Shareholder Proposal: Amend Articles of Incorporation (Establishment of a Special Committee relating to the Suspension of Rational Creation of New Businesses over the past 25 years)

Shareholder
Against
For

20
Shareholder Proposal: Amend Articles of Incorporation (Establishment of a Special Committee relating to the Business Relationship with Kenko Tokina Co., Ltd.)

Shareholder
Against
For

21
Shareholder Proposal: Amend Articles of Incorporation (Establishment of a Special Committee relating to Appropriateness of Hereditary succession of the Corporate manager and the effect on Shareholder value)

Shareholder
Against
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
15,000
0
29-May-2015
18-Jun-2015
OMRON CORPORATION
Security

J61374120

Meeting Type
Annual General Meeting
Ticker Symbol

Meeting Date
23-Jun-2015

ISIN

JP3197800000

Agenda
706205095 - Management
Record Date

31-Mar-2015

Holding Recon Date
31-Mar-2015

City /
Country

KYOTO
/
Japan

Vote Deadline Date
05-Jun-2015

SEDOL(s)

5835735 - 6659428 - B02K7H3 - B1CDDC6 - B5PZ640
Quick Code
66450

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials.

Non-Voting

1
Approve Appropriation of Surplus

Management
For
For

2.1
Appoint a Director Tateishi, Fumio

Management
For
For

2.2
Appoint a Director Yamada, Yoshihito

Management
For
For

2.3
Appoint a Director Suzuki, Yoshinori

Management
For
For

2.4

Appoint a Director Sakumiya, Akio

Management

For

For

2.5

Appoint a Director Nitto, Koji

Management

For

For

2.6

Appoint a Director Toyama, Kazuhiko

Management

For

For

2.7

Appoint a Director Kobayashi, Eizo

Management

For

For

2.8

Appoint a Director Nishikawa, Kuniko

Management

For

For

3.1

Appoint a Corporate Auditor Kondo, Kiichiro

Management

For

For

3.2

Appoint a Corporate Auditor Kawashima, Tokio

Management

For

For

4

Appoint a Substitute Corporate Auditor Watanabe, Toru

Management

For

For

5

Approve Payment of Performance-based Compensation to Directors

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

12,900

0

29-May-2015

22-Jun-2015

PETROCHINA CO LTD, BEIJING

Security

Y6883Q104

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

23-Jun-2015

ISIN

CNE1000003W8

Agenda

706236052 - Management

Record Date

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24-Apr-2015

Holding Recon Date

24-Apr-2015

City /

Country

BEIJING

/

China

Vote Deadline Date

12-Jun-2015

SEDOL(s)

5939507 - 6226576 - B01DNL9 - B17H0R7 - BP3RWW8

Quick Code

Item

Proposal

Proposed by

Vote

For/Against Management

CMMT

PLEASE NOTE THAT THIS IS AN AMENDMENT TO MEETING ID 449512 DUE TO ADDITION OF-RESOLUTION. ALL VOTES RECEIVED ON THE PREVIOUS MEETING WILL BE DISREGARDED AND-YOU WILL NEED TO REINSTRUCT ON THIS MEETING NOTICE. THANK YOU

Non-Voting

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING O-N THE URL LINKS: [http://www.hkexnews.hk/listedco/listconews/sehk/ 2015/0408/LTN-20150408914.pdf](http://www.hkexnews.hk/listedco/listconews/sehk/2015/0408/LTN-20150408914.pdf) AND [http://www.hkexnews.hk/listedco/listconews/sehk/ 2015/0408/LTN201504081030.pdf](http://www.hkexnews.hk/listedco/listconews/sehk/2015/0408/LTN201504081030.pdf) AND [http://www.hkexnews.hk/listedco/listconews/SEH K/2015/0-603/LTN20150603529.pdf](http://www.hkexnews.hk/listedco/listconews/SEHK/2015/0-603/LTN20150603529.pdf) AND <http://www.hkexnews.hk/listedco/listconews/SEH K/201-5/0603/LTN20150603577.pdf>

Non-Voting

1

TO CONSIDER AND APPROVE THE REPORT OF THE BOARD OF DIRECTORS OF THE COMPANY FOR THE YEAR 2014

Management

For

For

2

TO CONSIDER AND APPROVE THE REPORT OF THE SUPERVISORY COMMITTEE OF THE COMPANY FOR THE YEAR 2014

Management

For

For

3

TO CONSIDER AND APPROVE THE AUDITED FINANCIAL STATEMENTS OF THE COMPANY FOR THE YEAR 2014

Management

For

For

4

TO CONSIDER AND APPROVE THE DECLARATION AND PAYMENT OF THE FINAL DIVIDEND FOR THE YEAR ENDED 31 DECEMBER 2014 IN THE AMOUNT AND IN THE MANNER RECOMMENDED BY THE BOARD OF DIRECTORS

Management

For

For

5

TO CONSIDER AND APPROVE THE AUTHORISATION OF THE BOARD OF DIRECTORS TO DETERMINE THE DISTRIBUTION OF INTERIM DIVIDENDS FOR THE YEAR 2015

Management

For

For

6

TO CONSIDER AND APPROVE THE APPOINTMENT OF KPMG HUAZHEN AND KPMG, AS THE DOMESTIC AND INTERNATIONAL AUDITORS OF THE COMPANY, RESPECTIVELY, FOR THE YEAR 2015 AND TO AUTHORISE THE BOARD OF DIRECTORS TO DETERMINE THEIR REMUNERATION

Management

For

For

7.I

TO CONSIDER AND APPROVE THE ELECTION OF MR ZHAO ZHENGZHANG AS DIRECTOR OF THE COMPANY

Management

For

For

7.II

TO CONSIDER AND APPROVE THE ELECTION OF MR WANG YILIN AS DIRECTOR OF THE COMPANY

Management

For

For

8

TO CONSIDER AND APPROVE, BY WAY OF SPECIAL RESOLUTION, TO GRANT A GENERAL MANDATE TO THE BOARD OF DIRECTORS TO SEPARATELY OR CONCURRENTLY ISSUE, ALLOT AND DEAL WITH ADDITIONAL DOMESTIC SHARES AND OVERSEAS LISTED FOREIGN SHARES IN THE COMPANY NOT EXCEEDING 20% OF EACH OF ITS EXISTING DOMESTIC SHARES AND OVERSEAS LISTED FOREIGN SHARES OF THE COMPANY IN ISSUE

Management

For

For

9

TO CONSIDER AND APPROVE, BY WAY OF SPECIAL RESOLUTION, TO UNCONDITIONALLY GRANT A GENERAL MANDATE TO DETERMINE AND HANDLE THE ISSUE OF DEBT FINANCING INSTRUMENTS OF THE COMPANY WITH THE OUTSTANDING BALANCE AMOUNT OF UP TO RMB150 BILLION, UPON SUCH TERMS AND CONDITIONS TO BE DETERMINED BY THE BOARD OF DIRECTORS

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

804,000

0

04-Jun-2015

17-Jun-2015

DAIWA SECURITIES GROUP INC.

Security

J11718111

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

25-Jun-2015

ISIN

JP3502200003

Agenda

706205401 - Management

Record Date

31-Mar-2015

Holding Recon Date

31-Mar-2015

City /

Country

TOKYO

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/
Japan

Vote Deadline Date
09-Jun-2015

SEDOL(s)

0250797 - 4253145 - 4263467 - 4276830 - 4743088 - 6251448 - B021NV2 - B0K3NN2 - BJ05267
Quick Code
86010

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials.

Non-Voting

1.1
Appoint a Director Suzuki, Shigeharu

Table of Contents

Management

For

For

1.2

Appoint a Director Hibino, Takashi

Management

For

For

1.3

Appoint a Director Iwamoto, Nobuyuki

Management

For

For

1.4

Appoint a Director Kusaki, Yoriyuki

Management

For

For

1.5

Appoint a Director Nakamura, Hiroshi

Management

For

For

1.6

Appoint a Director Tashiro, Keiko

Management

For

For

1.7

Appoint a Director Shirataki, Masaru

Management

For

For

1.8

Appoint a Director Yasuda, Ryuji

Management

For
For

1.9
Appoint a Director Matsubara, Nobuko

Management
For
For

1.10
Appoint a Director Tadaki, Keiichi

Management
For
For

1.11
Appoint a Director Onodera, Tadashi

Management
For
For

1.12
Appoint a Director Ogasawara, Michiaki

Management
For
For

2
Approve Issuance of Share Acquisition Rights as Stock Options

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
AL27

Table of Contents

AL27

STATE STREET BANK

115,000

0

29-May-2015

24-Jun-2015

IHI CORPORATION

Security

J2398N105

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

25-Jun-2015

ISIN

JP3134800006

Agenda

706227003 - Management

Record Date

31-Mar-2015

Holding Recon Date

31-Mar-2015

City /

Country

TOKYO

/

Japan

Vote Deadline Date

17-Jun-2015

SEDOL(s)

5754313 - 6466985 - B170KB0 - B3BHQH9 - BHZL4P9

Quick Code

70130

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials.

Non-Voting

1
Approve Appropriation of Surplus

Management
For
For

2.1
Appoint a Director Kama, Kazuaki

Management
For
For

2.2
Appoint a Director Saito, Tamotsu

Management

For

For

2.3

Appoint a Director Degawa, Sadao

Management

For

For

2.4

Appoint a Director Sekido, Toshinori

Management

For

For

2.5

Appoint a Director Terai, Ichiro

Management

For

For

2.6

Appoint a Director Sakamoto, Joji

Management

For

For

2.7

Appoint a Director Yoshida, Eiichi

Management

For

For

2.8

Appoint a Director Mitsuoka, Tsugio

Management

For

For

2.9

Appoint a Director Otani, Hiroyuki

Management

For

For

2.10

Appoint a Director Abe, Akinori

Management

For

For

2.11

Appoint a Director Hamaguchi, Tomokazu

Management

For

For

2.12

Appoint a Director Okamura, Tadashi

Management

For

For

2.13

Appoint a Director Asakura, Hiroshi

Management

For

For

2.14

Appoint a Director Domoto, Naoya

Management

For

For

2.15

Appoint a Director Fujiwara, Taketsugu

Management

For

For

3

Appoint a Corporate Auditor Hashimoto, Takayuki

Management

For

For

4

Amend the Compensation to be received by Directors

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

112,000

0

03-Jun-2015

24-Jun-2015

MITSUBISHI UFJ FINANCIAL GROUP,INC.

Security

J44497105

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

25-Jun-2015

ISIN

JP3902900004

Agenda

706250583 - Management

Record Date

31-Mar-2015

Holding Recon Date

31-Mar-2015

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City /
Country

TOKYO
/
Japan

Vote Deadline Date
09-Jun-2015

SEDOL(s)

3198902 - 6335171 - B02JD72 - B0P9948 - BHZL5M3
Quick Code
83060

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials.

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Non-Voting

1

Approve Appropriation of Surplus

Management

For

For

2

Amend Articles to: Transition to a Company with Three Committees, Eliminate the Articles Related to Class 5 and Class 11 Preferred Shares, Revise Convenors and Chairpersons of a Shareholders Meeting and Board of Directors Meeting, Adopt Reduction of Liability System for Non-Executive Directors, Revise Directors with Title

Management

For

For

3.1

Appoint a Director Sono, Kiyoshi

Management

For

For

3.2

Appoint a Director Wakabayashi, Tatsuo

Management

For

For

3.3

Appoint a Director Nagaoka, Takashi

Management

For

For

3.4

Appoint a Director Hirano, Nobuyuki

Management

For

For

3.5

Appoint a Director Oyamada, Takashi

Management

For
For

3.6
Appoint a Director Kuroda, Tadashi

Management
For
For

3.7
Appoint a Director Tokunari, Muneaki

Management
For
For

3.8
Appoint a Director Yasuda, Masamichi

Management
For
For

3.9
Appoint a Director Mikumo, Takashi

Management
For
For

3.10
Appoint a Director Shimamoto, Takehiko

Management
For
For

3.11
Appoint a Director Kawamoto, Yuko

Management
For
For

3.12
Appoint a Director Matsuyama, Haruka

Management
For
For

3.13

Appoint a Director Okamoto, Kunie

Management

For

For

3.14

Appoint a Director Okuda, Tsutomu

Management

For

For

3.15

Appoint a Director Kawakami, Hiroshi

Management

For

For

3.16

Appoint a Director Sato, Yukihiro

Management

For

For

3.17

Appoint a Director Yamate, Akira

Management

For

For

4

Shareholder Proposal: Amend Articles of Incorporation (Ban on Gender Discrimination)

Shareholder

Against

For

5

Shareholder Proposal: Amend Articles of Incorporation (Setting Maximum Limit for Stock Name Transfer fees on Margin Trading at Securities Subsidiaries)

Shareholder

Against

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

57,700

0

08-Jun-2015

24-Jun-2015

TOSHIBA CORPORATION

Security

J89752117

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

25-Jun-2015

ISIN

JP3592200004

Agenda

706254719 - Management

Record Date

31-Mar-2015

Holding Recon Date

31-Mar-2015

City /

Country

TOKYO

/

Japan

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Vote Deadline Date
09-Jun-2015

SEDOL(s)

0897439 - 2897589 - 4899914 - 4900065 - 5485657 - 6897217 - B0CR525 - B1H51J0
Quick Code
65020

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials.

Non-Voting

1.1
Appoint a Director Muromachi, Masashi

Management

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For
For

1.2
Appoint a Director Sasaki, Norio

Management
For
For

1.3
Appoint a Director Tanaka, Hisao

Management
For
For

1.4
Appoint a Director Shimomitsu, Hidejiro

Management
For
For

1.5
Appoint a Director Fukakushi, Masahiko

Management
For
For

1.6
Appoint a Director Kobayashi, Kiyoshi

Management
For
For

1.7
Appoint a Director Masaki, Toshio

Management
For
For

1.8
Appoint a Director Nishida, Naoto

Management
For
For

1.9

Appoint a Director Maeda, Keizo

Management

For

For

1.10

Appoint a Director Ushio, Fumiaki

Management

For

For

1.11

Appoint a Director Kubo, Makoto

Management

For

For

1.12

Appoint a Director Shimaoka, Seiya

Management

For

For

1.13

Appoint a Director Itami, Hiroyuki

Management

For

For

1.14

Appoint a Director Shimanouchi, Ken

Management

For

For

1.15

Appoint a Director Saito, Kiyomi

Management

For

For

1.16

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Appoint a Director Tanino, Sakutaro

Management

For

For

2

Shareholder Proposal: Amend Articles of Incorporation (Exercise of Voting Rights at General Meetings of Shareholders)

Shareholder

Against

For

3

Shareholder Proposal: Amend Articles of Incorporation (Effective Use of Assets)

Shareholder

Against

For

4

Shareholder Proposal: Amend Articles of Incorporation (Purchase of Own Shares)

Shareholder

Against

For

5

Shareholder Proposal: Amend Articles of Incorporation (Individual Disclosure of Information on Directors and Executive Officers)

Shareholder

Against

For

6

Shareholder Proposal: Amend Articles of Incorporation (Reconsideration of Nuclear Power Business)

Shareholder

Against

For

7

Shareholder Proposal: Amend Articles of Incorporation (Disclosure of Information concerning Employees who Entered the Company from a Ministry or Agency of Government or Other Public Organizations)

Shareholder

Against

For

8

Shareholder Proposal: Amend Articles of Incorporation (Conditions of Employment for Temporary Employees)

Shareholder

Against

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

112,000

0

10-Jun-2015

24-Jun-2015

NIPPON TELEGRAPH AND TELEPHONE CORPORATION

Security

J59396101

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

26-Jun-2015

ISIN

JP3735400008

Agenda

706216593 - Management

Record Date

31-Mar-2015

Holding Recon Date

31-Mar-2015

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City /
Country

TOKYO
/
Japan

Vote Deadline Date
10-Jun-2015

SEDOL(s)

0641186 - 5168602 - 6641373 - B1570S0 - BJ04L23
Quick Code
94320

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials.

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Non-Voting

1

Approve Appropriation of Surplus

Management

For

For

2

Amend Articles to: Adopt Reduction of Liability System for Non-Executive Directors and Corporate Auditors, Adopt the Company to make distributions of surplus to foreign shareholders and other shareholders who were restricted from being entered or registered on the Company's register of shareholders

Management

For

For

3

Appoint a Director Hiroi, Takashi

Management

For

For

4.1

Appoint a Corporate Auditor Kosaka, Kiyoshi

Management

For

For

4.2

Appoint a Corporate Auditor Ide, Akiko

Management

For

For

4.3

Appoint a Corporate Auditor Tomonaga, Michiko

Management

For

For

4.4

Appoint a Corporate Auditor Ochiai, Seiichi

Management

For
For

4.5
Appoint a Corporate Auditor Iida, Takashi

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
9,500
0
01-Jun-2015
25-Jun-2015
FUJIFILM HOLDINGS CORPORATION
Security

J14208102

Meeting Type
Annual General Meeting
Ticker Symbol

Meeting Date
26-Jun-2015

ISIN

JP3814000000

Agenda
706226772 - Management
Record Date

31-Mar-2015

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Holding Recon Date
31-Mar-2015

City /
Country

TOKYO
/
Japan

Vote Deadline Date
10-Jun-2015

SEDOL(s)

5477591 - 6356525 - B0222J6 - B0ZGTR2 - BHZL2M2
Quick Code
49010

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials.

Non-Voting

1

Approve Appropriation of Surplus

Management

For

For

2

Amend Articles to: Adopt Reduction of Liability System for Non-Executive Directors and Corporate Auditors

Management

For

For

3.1

Appoint a Director Komori, Shigetaka

Management

For

For

3.2

Appoint a Director Nakajima, Shigehiro

Management

For

For

3.3

Appoint a Director Tamai, Koichi

Management

For

For

3.4

Appoint a Director Toda, Yuzo

Management

For

For

3.5

Appoint a Director Takahashi, Toru

Management

For

For

3.6

Appoint a Director Ishikawa, Takatoshi

Management

For

For

3.7

Appoint a Director Sukeno, Kenji

Management

For

For

3.8

Appoint a Director Asami, Masahiro

Management

For

For

3.9

Appoint a Director Yamamoto, Tadahito

Management

For

For

3.10

Appoint a Director Kitayama, Teisuke

Management

For

For

3.11

Appoint a Director Inoue, Hiroshi

Management

For

For

3.12

Appoint a Director Miyazaki, Go

Management

For

For

4

Appoint a Corporate Auditor Kobayakawa, Hisayoshi

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

16,400

0

03-Jun-2015

25-Jun-2015

FANUC CORPORATION

Security

J13440102

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

26-Jun-2015

ISIN

JP3802400006

Agenda

706237612 - Management

Record Date

31-Mar-2015

Holding Recon Date
31-Mar-2015

City /
Country

YAMANAS HI
/
Japan

Vote Deadline Date
18-Jun-2015

SEDOL(s)

5477557 - 6356934 - B022218 - B16TB93 - BHZL4G0
Quick Code
69540

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials.

Non-Voting

1

Approve Appropriation of Surplus

Management

For

For

2.1

Appoint a Director Inaba, Yoshiharu

Management

For

For

2.2

Appoint a Director Yamaguchi, Kenji

Management

For

For

2.3

Appoint a Director Uchida, Hiroyuki

Management

For

For

2.4

Appoint a Director Gonda, Yoshihiro

Management

For

For

2.5

Appoint a Director Inaba, Kiyonori

Management

For

For

2.6

Appoint a Director Matsubara, Shunsuke

Management

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For
For

2.7
Appoint a Director Noda, Hiroshi

Management
For
For

2.8
Appoint a Director Kohari, Katsuo

Management
For
For

2.9
Appoint a Director Okada, Toshiya

Management
For
For

2.10
Appoint a Director Richard E. Schneider

Management
For
For

2.11
Appoint a Director Olaf C. Gehrels

Management
For
For

2.12
Appoint a Director Ono, Masato

Management
For
For

2.13
Appoint a Director Tsukuda, Kazuo

Management
For
For

2.14

Appoint a Director Imai, Yasuo

Management

For

For

3.1

Appoint a Corporate Auditor Kimura, Shunsuke

Management

For

For

3.2

Appoint a Corporate Auditor Shimizu, Naoki

Management

For

For

3.3

Appoint a Corporate Auditor Nakagawa, Takeo

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

10,700

0

05-Jun-2015

25-Jun-2015

MITSUBISHI HEAVY INDUSTRIES,LTD.

Security

J44002129

Meeting Type
Annual General Meeting
Ticker Symbol

Meeting Date
26-Jun-2015

ISIN

JP3900000005

Agenda
706237686 - Management
Record Date

31-Mar-2015

Holding Recon Date
31-Mar-2015

City /
Country

TOKYO
/
Japan

Vote Deadline Date
10-Jun-2015

SEDOL(s)

5478000 - 6597067 - B01DM01 - B175XK5 - BHZL4M6
Quick Code
70110

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials.

Non-Voting

1
Approve Appropriation of Surplus

Management
For
For

2
Amend Articles to: Transition to a Company with Supervisory Committee, Revise Directors with Title, Reduce the Board of Directors Size to 20, Revise Convenors and Chairpersons of a Board of Directors Meeting, Adopt Reduction of Liability System for Non-Executive Directors

Management
For
For

3.1
Appoint a Director except as Supervisory Committee Members Omiya, Hideaki

Management
For
For

3.2
Appoint a Director except as Supervisory Committee Members Miyanaga, Shunichi

Management
For
For

3.3
Appoint a Director except as Supervisory Committee Members Maekawa, Atsushi

Management
For
For

3.4
Appoint a Director except as Supervisory Committee Members Kujirai, Yoichi

Management
For
For

3.5
Appoint a Director except as Supervisory Committee Members Mizutani, Hisakazu

Management
For
For

3.6
Appoint a Director except as Supervisory Committee Members Kimura, Kazuaki

Management
For
For

3.7
Appoint a Director except as Supervisory Committee Members Koguchi, Masanori

Management
For
For

3.8
Appoint a Director except as Supervisory Committee Members Kojima, Yorihiro

Management
For
For

3.9
Appoint a Director except as Supervisory Committee Members Shinohara, Naoyuki

Management
For

For

4.1

Appoint a Director as Supervisory Committee Members Isu, Eiji

Management

For

For

4.2

Appoint a Director as Supervisory Committee Members Nojima, Tatsuhiko

Management

For

For

4.3

Appoint a Director as Supervisory Committee Members Kuroyanagi, Nobuo

Management

For

For

4.4

Appoint a Director as Supervisory Committee Members Christina Ahmadjian

Management

For

For

4.5

Appoint a Director as Supervisory Committee Members Ito, Shinichiro

Management

For

For

5

Amend the Compensation to be received by Directors except as Supervisory Committee Members

Management

For

For

6

Amend the Compensation to be received by Directors as Supervisory Committee Members

Management

For

For

7

Approve Details of Stock Compensation to be received by Directors

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

182,000

0

05-Jun-2015

25-Jun-2015

SUMITOMO MITSUI FINANCIAL GROUP,INC.

Security

J7771X109

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

26-Jun-2015

ISIN

JP3890350006

Agenda

706237763 - Management

Record Date

31-Mar-2015

Holding Recon Date

31-Mar-2015

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City /
Country

TOKYO
/
Japan

Vote Deadline Date
10-Jun-2015

SEDOL(s)

3250095 - 6563024 - B02LM26 - B0R2R41 - B17MVZ7 - BHZL5Q7
Quick Code
83160

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials.

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Non-Voting

1

Approve Appropriation of Surplus

Management

For

For

2

Amend Articles to: Revise Directors with Title, Approve Minor Revisions, Adopt Reduction of Liability System for Non-Executive Directors and Corporate Auditors

Management

For

For

3.1

Appoint a Director Oku, Masayuki

Management

For

For

3.2

Appoint a Director Kunibe, Takeshi

Management

For

For

3.3

Appoint a Director Ito, Yujiro

Management

For

For

3.4

Appoint a Director Ogino, Kozo

Management

For

For

3.5

Appoint a Director Teramoto, Toshiyuki

Management

For

For

3.6

Appoint a Director Tanizaki, Katsunori

Management

For

For

3.7

Appoint a Director Nomura, Kuniaki

Management

For

For

3.8

Appoint a Director Arthur M. Mitchell

Management

For

For

3.9

Appoint a Director Kono, Masaharu

Management

For

For

3.10

Appoint a Director Sakurai, Eriko

Management

For

For

4

Appoint a Corporate Auditor Mikami, Toru

Management

For

For

5

Amend the Compensation to be received by Directors

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

38,600

0

05-Jun-2015

25-Jun-2015

LEOPALACE21 CORPORATION

Security

J38781100

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date

26-Jun-2015

ISIN

JP3167500002

Agenda

706237876 - Management

Record Date

31-Mar-2015

Holding Recon Date

31-Mar-2015

City /

Country

TOKYO

/

Japan

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Vote Deadline Date
18-Jun-2015

SEDOL(s)

2761026 - 5881482 - 6598424 - B1CDCY1 - B3BHY31
Quick Code
88480

Item
Proposal

Proposed by

Vote
For/Against Management

Please reference meeting materials.

Non-Voting

1
Approve Reduction of Capital Reserve and Appropriation of Surplus

Management

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For
For

2.1
Appoint a Director Miyama, Eisei

Management
For
For

2.2
Appoint a Director Miyama, Tadahiro

Management
For
For

2.3
Appoint a Director Sekiya, Yuzuru

Management
For
For

2.4
Appoint a Director Tajiri, Kazuto

Management
For
For

2.5
Appoint a Director Miike, Yoshikazu

Management
For
For

2.6
Appoint a Director Harada, Hiroyuki

Management
For
For

2.7
Appoint a Director Takeda, Hiroshi

Management
For
For

2.8

Appoint a Director Taya, Tetsuji

Management

For

For

2.9

Appoint a Director Sasao, Yoshiko

Management

For

For

3

Appoint a Corporate Auditor Yuhara, Takao

Management

For

For

Account Number

Account Name

Internal Account

Custodian

Ballot Shares

Unavailable Shares

Vote Date

Date Confirmed

AL27

AL27

STATE STREET BANK

136,300

0

05-Jun-2015

25-Jun-2015

CHINA CINDA ASSET MANAGEMENT CO LTD

Security

Y1R34V103

Meeting Type

Annual General Meeting

Ticker Symbol

Meeting Date
29-Jun-2015

ISIN

CNE100001QS1

Agenda
706271347 - Management
Record Date

29-May-2015

Holding Recon Date
29-May-2015

City /
Country

BEIJING
/
China

Vote Deadline Date
18-Jun-2015

SEDOL(s)

BGY6SV2 - BH5MC70 - BP3RYM2 - BQLXPR1
Quick Code

Item
Proposal

Proposed by

Vote
For/Against Management

CMMT

PLEASE NOTE THAT THIS IS AN AMENDMENT TO MEETING ID: 485365 DUE TO RECEIPT OF-ADDITIONAL RESOLUTION. ALL VOTES RECEIVED ON THE PREVIOUS MEETING WILL BE DISREGARDED AND YOU WILL NEED TO REINSTRUCT ON THIS MEETING NOTICE. THANK YOU.

Non-Voting

CMMT

PLEASE NOTE THAT THE COMPANY NOTICE AND PROXY FORM ARE AVAILABLE BY CLICKING ON THE URL LINKS: <http://www.hkexnews.hk/listedco/listconews/SEHK/2015/0612/LTN-20150612041.pdf> AND <http://www.hkexnews.hk/listedco/listconews/SEHK/2015/0612/LTN20150612039.pdf> AND <http://www.hkexnews.hk/listedco/listconews/SEHK/2015/05-14/LTN20150514019.pdf>

Non-Voting

1

TO CONSIDER AND APPROVE THE WORK REPORT OF THE BOARD FOR 2014

Management

For

For

2

TO CONSIDER AND APPROVE THE WORK REPORT OF THE BOARD OF SUPERVISORS FOR 2014

Management

For

For

3

TO CONSIDER AND APPROVE THE FINAL FINANCIAL ACCOUNT PLAN FOR 2014

Management

For

For

4

TO CONSIDER AND APPROVE THE PROFIT DISTRIBUTION PLAN FOR 2014

Management
For
For

5
TO CONSIDER AND APPROVE THE FIXED ASSETS INVESTMENT BUDGET FOR 2015

Management
For
For

6
TO CONSIDER AND APPROVE THE APPOINTMENT OF ACCOUNTING FIRM FOR 2015

Management
For
For

7
TO CONSIDER AND APPROVE THE GRANTING OF GENERAL MANDATE TO ISSUE ADDITIONAL H
SHARES TO THE BOARD

Management
For
For

Account Number

Account Name

Internal Account
Custodian
Ballot Shares

Unavailable Shares

Vote Date
Date Confirmed
AL27
AL27

STATE STREET BANK
1,187,000
0
13-Jun-2015
24-Jun-2015

SIGNATURE

Pursuant to the requirements of the Investment Company Act of 1940, the Registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

Clough Global Allocation
Fund

By: /s/ Edmund J. Burke
Edmund J. Burke
President

Date: August 25, 2015