

2018

2018 12 31

2019 3 29

**§ 1**

**1.1**

2019 3 28

2018 1 1      2018 12 31

<b>1.2</b>		
<b>§1</b>	.....	<b>2</b>
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13.1	.....	66
13.2	.....	66
13.3	.....	66

## § 2

### 2.1

	519959
	519959
	2015 7 1
	187, 237, 760. 71

### 2.2

	1
	2
	1
	2
	3

	4	
	300	× 60%+ × 40%

## 2.3

	021-61009999	95559
	zhouyg@cxfund. com. cn	luzj@bankcomm. com
	4007005566	95559
	021-61009800	021-62701216
	68 9	188
	68 9	18
	200120	200336

## 2.4

	www. cxfund. com. cn
	68 9
	18

**2.5**

		222 30
		17

## § 3

## 3.1

3.1.1	2018	2017	2016
	809, 776. 72	6, 972, 489. 83	-55, 117, 329. 88
	-33, 284, 112. 14	97, 192, 236. 61	-138, 137, 637. 85
	-0. 1667	0. 2070	-0. 1725
	-15. 10%	20. 94%	-18. 14%
	-14. 90%	25. 46%	-16. 29%
3.1.2	2018	2017	2016
	-4, 314, 105. 11	27, 885, 819. 65	-61, 785, 464. 22
	-0. 0230	0. 1185	-0. 0848
	182, 923, 655. 60	270, 074, 333. 66	666, 495, 401. 92
	0. 977	1. 148	0. 915
3.1.3	2018	2017	2016
	-2. 30%	14. 80%	-8. 50%

1

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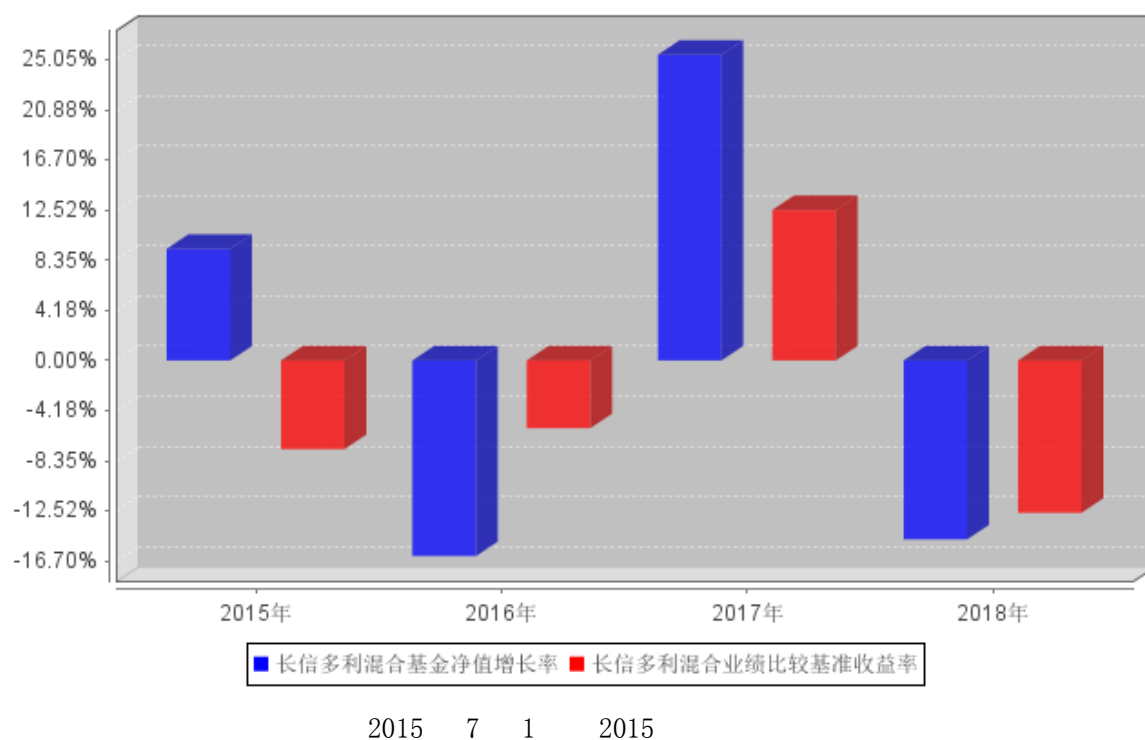
## 3.2

## 3.2.1

	-10. 45%	1. 25%	-6. 41%	0. 98%	-4. 04%	0. 27%
	-15. 92%	1. 24%	-6. 94%	0. 89%	-8. 98%	0. 35%
	-14. 90%	1. 29%	-12. 69%	0. 80%	-2. 21%	0. 49%
	-10. 61%	1. 34%	-7. 29%	0. 71%	-3. 32%	0. 63%
	-2. 30%	1. 46%	-14. 15%	0. 89%	11. 85%	0. 57%



## 3.2.3



## 3.3 7

§ 4

4.1

4.1.1

2003 63

1.65

44.55%

31.21%

15.15%

4.55%

4.54%

2018 12 31

64

100

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(LOF)

LOF

LOF

500

FOF

**4.1.2**

		2017 3 10	-	11	2007 7

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		2017 9 26	-	12	

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**4.2**

## 4.3

### 4.3.1

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### 4.3.2



2018

**4.6**

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## 4.8

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5

## 4.9

**§ 5**

**5.1**

2018

**5.2**

2018

**5.3**

2018

**§ 6**

**6.1**

	( )
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	(2)
	(3)
	(4)
	(5) ( )
	222 30
	2019 3 25

## § 7

## 7.1

2018 12 31

		2018 12 31	2017 12 31
	7.4.7.1	6, 787, 491. 58	10, 734, 643. 42
		820, 475. 97	310, 118. 60
		103, 805. 79	151, 346. 01
	7.4.7.2	152, 286, 544. 03	250, 683, 082. 90
		118, 454, 144. 03	230, 779, 082. 90
		-	-
		33, 832, 400. 00	19, 904, 000. 00
		-	-
		-	-
	7.4.7.3	-	-
	7.4.7.4	25, 996, 134. 99	10, 000, 000. 00
		-	910, 599. 87
	7.4.7.5	708, 056. 99	337, 301. 23
		-	-
		7, 604. 88	29, 941. 29
		-	-
	7.4.7.6	-	-
		186, 710, 114. 23	273, 157, 033. 32
		2018 12 31	2017 12 31
		-	-
		-	-
	7.4.7.3	-	-
		-	-
		2, 956, 666. 28	-
		79, 185. 98	2, 111, 743. 89
		251, 264. 25	347, 832. 59
		41, 877. 39	57, 972. 09
		-	-
	7.4.7.7	198, 264. 14	215, 137. 34
		170. 57	-
		-	-

		-	-
		-	-
	7.4.7.8	259,030.02	350,013.75
		3,786,458.63	3,082,699.66
	7.4.7.9	187,237,760.71	235,331,682.58
	7.4.7.10	-4,314,105.11	34,742,651.08
		182,923,655.60	270,074,333.66
		186,710,114.23	273,157,033.32
2018	12	31	0.977
			187,237,760.71

## 7.2

2018 1 1 2018 12 31

		2018 1 1 2018 12 31	2017 1 1 2017 12 31
		-27,595,426.42	108,764,247.30
1.		1,257,047.59	923,869.56
	7.4.7.11	139,664.85	698,399.11
		830,146.30	183,825.51
		-	-
		287,236.44	41,644.94
		-	-
2.	-	5,095,995.81	17,369,627.49
	7.4.7.12	2,249,077.95	14,404,126.97
		-	-
	7.4.7.13	53,749.39	-16,258.79
	7.4.7.13.5	-	-
	7.4.7.14	-	-
	7.4.7.15	-	-
	7.4.7.16	2,793,168.47	2,981,759.31
3.	-	7.4.7.17	-34,093,888.86
			90,219,746.78
4.	-		-
5.	-	7.4.7.18	145,419.04
			251,003.47
			5,688,685.72
1		7.4.10.2.1	11,572,010.69
			3,313,408.82
2		7.4.10.2.2	7,022,067.87
			552,234.71
3			1,170,344.62
			-
			-

4	7.4.7.19	1, 538, 275. 99	3, 004, 361. 35
5		-	-
		-	-
6		16. 90	-
7	7.4.7.20	284, 749. 30	375, 236. 85
	-	-33, 284, 112. 14	97, 192, 236. 61
		-	-
	-	-33, 284, 112. 14	97, 192, 236. 61

## 7.3

2018 1 1 2018 12 31

	2018 1 1 2018 12 31		
	235, 331, 682. 58	34, 742, 651. 08	270, 074, 333. 66
	-	-33, 284, 112. 14	-33, 284, 112. 14
-	-48, 093, 921. 87	-5, 772, 644. 05	-53, 866, 565. 92
1.	99, 398, 637. 26	14, 738, 720. 40	114, 137, 357. 66
2.	-147, 492, 559. 13	-20, 511, 364. 45	-168, 003, 923. 58
-	-	-	-
	187, 237, 760. 71	-4, 314, 105. 11	182, 923, 655. 60
	2017 1 1 2017 12 31		

	728,280,866.14	-61,785,464.22	666,495,401.92
	-	97,192,236.61	97,192,236.61
-	-492,949,183.56	-664,121.31	-493,613,304.87
1.	10,905,250.17	601,016.44	11,506,266.61
2.	-503,854,433.73	-1,265,137.75	-505,119,571.48
-	-	-	-
	235,331,682.58	34,742,651.08	270,074,333.66

7.1 7.4

**7.4****7.4.1**

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(

[2015]1069

1,472,766,279.25

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2015 7 1

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(  
)  
0%-95%  
5%-100% 3%  
5% (  
)  
300 ×60%+ ×40%  
2019 3 25

## 7.4.2

(

## 7.4.3

2018 12 31

2018

## 7.4.4

### 7.4.4.1

1 1 12 31

### 7.4.4.2

### 7.4.4.3

1)

2)

#### 7.4.4.4

(

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#### 7.4.4.5

- 1) (
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- 2)
- 3)
- 4)

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**7.4.4.9 / ( )**

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-

( )

-

**7.4.4.10**

1.50%

0.25%

**7.4.4.11**

1)

12

3



7.4.5

7.4.5.1

7.4.5.2

7.4.5.3

7.4.6

[2005]103

[2008]1

2008

9 18

[2012]85

[2014]48

[2015]101

[2016]36

[2016]140

[2017]56

[2017]90

1) ( )

2018 1 1

3%

2)

3)

1

( 1 )

1

1 ( 1 )

50%

1

20%

4) 20%

5) A 0.10% ( )

## 7.4.7

### 7.4.7.1

	2018 12 31	2017 12 31
	6,787,491.58	10,734,643.42
	-	-
1	-	-
1-3	-	-
3	-	-
	-	-
	6,787,491.58	10,734,643.42

### 7.4.7.2

		2018 12 31		
		128,172,987.49	118,454,144.03	-9,718,843.46
-		-	-	-
		3,637,980.59	3,676,400.00	38,419.41
		29,803,800.00	30,156,000.00	352,200.00
		33,441,780.59	33,832,400.00	390,619.41
		-	-	-
		-	-	-
		-	-	-
		161,614,768.08	152,286,544.03	-9,328,224.05
		2017 12 31		
		205,985,258.09	230,779,082.90	24,793,824.81
-		-	-	-

		-	-	-
		19,932,160.00	19,904,000.00	-28,160.00
		19,932,160.00	19,904,000.00	-28,160.00
		-	-	-
		-	-	-
		-	-	-
		225,917,418.09	250,683,082.90	24,765,664.81

**7.4.7.3** /

/

**7.4.7.4**

**7.4.7.4.1**

	2018 12 31		
	16,000,000.00		-
	9,996,134.99		-
	25,996,134.99		-
	2017 12 31		
	10,000,000.00		-
	-		-
	10,000,000.00		-

**7.4.7.4.2**

**7.4.7.5**

	2018 12 31	2017 12 31
	2,012.87	4,644.32
	-	-
	-	-
	369.20	139.50
	656,723.43	336,558.90
	-	-
	48,904.79	-4,109.59
	-	-

	-	-
	46.70	68.10
	708,056.99	337,301.23

**7.4.7.6****7.4.7.7**

	2018 12 31	2017 12 31
--	------------	------------

**7.4.7.10**

	27,885,819.65	6,856,831.43	34,742,651.08
	809,776.72	-34,093,888.86	-33,284,112.14
	-4,468,081.06	-1,304,562.99	-5,772,644.05
	19,284,178.16	-4,545,457.76	14,738,720.40
	-23,752,259.22	3,240,894.77	-20,511,364.45
	-	-	-
	24,227,515.31	-28,541,620.42	-4,314,105.11

**7.4.7.11**

	2018 1 1 31	2018 12 31	2017 1 1 31	2017 12 31
		127,412.31		516,218.51
		-		-
		-		-
		8,684.09		178,146.65
		3,568.45		4,033.95
		139,664.85		698,399.11

**7.4.7.12****7.4.7.12.1**

---

	2018 1 1 31	2018 12 31	2017 1 1 31	2017 12 31
		542,812,804.83		1,291,262,524.88
		540,563,726.88		1,276,858,397.91
		2,249,077.95		14,404,126.97

**7.4.7.13****7.4.7.13.1**

	2018 1 1 12 31	2018 12 31	2017 1 1 12 31	2017 12 31
		53,749.39		-16,258.79

---	-	-
---	-	-
	53,749.39	-16,258.79

**7.4.7.13.2**

	2018	1	1	2018	2017	1	1	2017
		12	31			12	31	
				36,786,117.47				560,813.30
				35,781,260.51				577,000.00
				951,107.57				72.09
				53,749.39				-16,258.79

**7.4.7.13.3****7.4.7.13.4****7.4.7.13.5****7.4.7.14****7.4.7.14.1****7.4.7.15****7.4.7.15.1****7.4.7.15.2****7.4.7.16**

--	--	--

	2018	1	1	2018	12	2017	1	1	2017	12
	31				31					
	2,793,168.47				2,981,759.31					
	-				-					
	2,793,168.47				2,981,759.31					

**7.4.7.17**

	2018	1	1	2018	12	2017	1	1	2017	12
	31				31					
1.	-34,093,888.86				90,219,746.78					
---	-34,512,668.27				90,247,906.78					
---	418,779.41				-28,160.00					
---	-				-					
---	-				-					
---	-				-					

2.



	( )

1

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( [2018]1905 )

15.15%

2018 12 21

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**7.4.10**

**7.4.10.1**

**7.4.10.1.1**

	2018 1 1			2018 12 31			2017 1 1			2017 12 31		
			541,575,410.52		54.10%				925,987,505.54		43.23%	

**7.4.10.1.2**

	2018 1 1			2018 12 31			2017 1 1			2017 12 31		
			10,048,761.90		100.00%				1,137,813.30		100.00%	

**7.4.10.1.3**

	2018 1 1			2018 12 31			2017 1 1			2017 12 31		
--	----------	--	--	------------	--	--	----------	--	--	------------	--	--

	470,500,000.00	100.00%	38,000,000.00	100.00%

**7.4.10.1.4****7.4.10.1.5**

	2018 1 1		2018 12 31	
	502,815.33	55.52%	106,449.73	54.14%
	2017 1 1		2017 12 31	
	829,767.79	54.49%	78,523.19	36.50%

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## 7.4.10.2.2

	2018 1 1 31	2018 12 31	2017 1 1 31	2017 12 31
		552,234.71		1,170,344.62

0.25%

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×0.25%÷

## 7.4.10.3

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## 7.4.10.4

## 7.4.10.4.1

	2018 1 1 31	2018 12 31	2017 1 1 31	2017 12 31
2015		-		-
7 1		2,006,279.66		2,006,279.66
/		-		-
		-		-
/		-		-
		2,006,279.66		2,006,279.66
		1.07%		0.85%

## 7.4.10.4.2

## 7.4.10.5

	2018 1 1 31	2018 12 31	2017 1 1 31	2017 12 31

	6, 787, 491. 58	127, 412. 31	10, 734, 643. 42	516, 218. 51
--	-----------------	--------------	------------------	--------------

2018 12 31 820, 475. 97 (2017 12 31  
310, 118. 60 )

**7.4.10.6****7.4.10.7****7.4.11****7.4.12 2018 12 31****7.4.12.1 /**

7.4.12.1.1										
601860		2018 12 20	2019 1 3		3. 14	3. 14	15, 970	50, 145. 80	50, 145. 80	-
601138		2018 5 28	2019 6 10		13. 77	10. 97	35, 153	484, 056. 81	385, 628. 41	-

**7.4.12.2****7.4.12.3****7.4.12.3.1****7.4.12.3.2**

**7.4.13**

**7.4.13.1**

**7.4.13.2**

10%

10%

**7.4.13.2.1**

	2018 12 31	2017 12 31
A-1	0.00	0.00
A-1	0.00	0.00
	10,024,000.00	19,904,000.00
	10,024,000.00	19,904,000.00

**7.4.13.2.2****7.4.13.2.3**

	2018 12 31	2017 12 31
A-1	0.00	0.00
A-1	0.00	0.00
	9,819,000.00	0.00
	9,819,000.00	0.00

AA+

**7.4.13.2.4**

	2018 12 31	2017 12 31
AAA	3,676,400.00	0.00
AAA	0.00	0.00
	10,313,000.00	0.00
	13,989,400.00	0.00

**7.4.13.2.5****7.4.13.2.6**

**7.4.13.3****7.4.13.3.1****7.4.13.4****7.4.13.4.1****7.4.13.4.1.1**

2018 12 31	6	6 -1	1-5	5		
	6, 787, 491. 58	-	-	-	-	6, 787, 491. 58

	820,475.97	-	-	-	-	820,475.97
	103,805.79	-	-	-	-	103,805.79
	23,519,400.00	-	-	-10,313,000.00	118,454,144.03	152,286,544.03
	25,996,134.99	-	-	-	-	25,996,134.99
	-	-	-	-	708,056.99	708,056.99
	-	-	-	-	7,604.88	7,604.88
	-	-	-	-	-	-
	57,227,308.33	-	-	-10,313,000.00	119,169,805.90	186,710,114.23
	-	-	-	-	2,956,666.28	2,956,666.28
	-	-	-	-	79,185.98	79,185.98
	-	-	-	-	251,264.25	251,264.25
	-	-	-	-	41,877.39	41,877.39
	-	-	-	-	198,264.14	198,264.14
	-	-	-	-	170.57	170.57
	-	-	-	-	259,030.02	259,030.02
	-	-	-	-	3,786,458.63	3,786,458.63
	57,227,308.33	-	-	-10,313,000.00	115,383,347.27	182,923,655.60
2017 12 31	6	6 -1	1-5	5		
	10,734,643.42	-	-	-	-	10,734,643.42
	310,118.60	-	-	-	-	310,118.60
	151,346.01	-	-	-	-	151,346.01
	-	19,904,000.00	-	-	-230,779,082.90	250,683,082.90
	10,000,000.00	-	-	-	-	10,000,000.00
	-	-	-	-	910,599.87	910,599.87
	-	-	-	-	337,301.23	337,301.23
	-	-	-	-	29,941.29	29,941.29
	-	-	-	-	-	-
	21,196,108.03	19,904,000.00	-	-	-232,056,925.29	273,157,033.32

	-	-	-	-	347,832.59	347,832.59
	-	-	-	-	57,972.09	57,972.09
	-	-	-	-	215,137.34	215,137.34
	-	-	-	-	350,013.75	350,013.75
	-	-	-	-	3,082,699.66	3,082,699.66
	21,196,108.03	19,904,000.00	-	-	-228,974,225.63	270,074,333.66

#### 7.4.13.4.1.2

		2018 12 31	2017 12 31
	27	243,332.50	27,633.52
	27	-243,332.50	-27,633.52

#### 7.4.13.4.2

#### 7.4.13.4.3

VaR (Value at Risk)

12 31

#### 7.4.13.4.3.1

	2018 12 31		2017 12 31	
		%		%
-	118,454,144.03	64.76	230,779,082.90	85.45
	-	-	-	-
	33,832,400.00	18.50	19,904,000.00	7.37
	-	-	-	-
	-	-	-	-
	-	-	-	-
	152,286,544.03	83.25	250,683,082.90	92.82

#### 7.4.13.4.3.2

		95%	
		2018 12 31	2017 12 31
VaR	2.57%	-4,698,043.26	-7,035,595.12
31	VaR 2.61%)		

VaR

95%

2017

#### 7.4.14

(1)

(a)

(b)

(i)

2018 12 31

121,694,769.82

30,206,145.80

385,628.41 ( 2017 12 31

230,073,772.21

20,609,310.69

)

(ii)

( )

(iii)

0.00

0.00

0.00

-98,428.40

484,056.81

0.00

385,628.41

-98,428.40

(2)

## § 8

### 8.1

			%
1		118,454,144.03	63.44
		118,454,144.03	63.44
2		-	-
3		33,832,400.00	18.12
		33,832,400.00	18.12
		-	-
4		-	-
5		-	-
6		25,996,134.99	13.92
		-	-
7		7,607,967.55	4.07
8		819,467.66	0.44
9		186,710,114.23	100.00

### 8.2

#### 8.2.1



N			-
O			-
P			-
Q		1,782,040.00	0.97
R			-
S			-
		118,454,144.03	64.76

### 8.2.2

### 8.3

1	600519		23,231	13,706,522.31	7.49
2	603589		307,591	10,787,216.37	5.90
3	600690		514,785	7,129,772.25	3.90
4	603808		427,217	6,938,004.08	3.79
5	601398		1,224,200	6,476,018.00	3.54
6	000568		149,400	6,074,604.00	3.32
7	601877		247,271	5,993,849.04	3.28
8	002304		58,385	5,530,227.20	3.02
9	000651		139,100	4,964,479.00	2.71
10	600548		548,504	4,925,565.92	2.69
11	603018		262,568	4,573,934.56	2.50
12	300196		476,100	4,203,963.00	2.30
13	000002		173,007	4,121,026.74	2.25
14	000858		72,860	3,707,116.80	2.03
15	300596		119,200	3,695,200.00	2.02
16	002024		369,558	3,640,146.30	1.99
17	600201		201,300	3,341,580.00	1.83
18	601689		212,600	3,142,228.00	1.72
19	600104		116,400	3,104,388.00	1.70
20	603259		29,500	2,208,370.00	1.21
21	002463		300,000	2,151,000.00	1.18
22	600036		73,300	1,847,160.00	1.01
23	002044		119,200	1,782,040.00	0.97
24	603708		83,800	1,683,542.00	0.92
25	601688		91,600	1,483,920.00	0.81

---

26	300760		6,407	699,772.54	0.38
27	601138		35,153	385,628.41	0.21
28	603185		1,345	66,039.50	0.04
29	601860		15,970	50,145.80	0.03
30	603629		1,051	40,684.21	0.02

**8.4****8.4.1****2% 20**

26	002382		5,857,427.00	2.17
27	603156		5,769,607.95	2.14
28	600201		5,737,179.00	2.12
29	300017		5,693,542.00	2.11

**8.4.2****2% 20**

1	600519		28,880,444.51	10.69
2	000858		28,869,670.28	10.69
3	002304		27,878,230.07	10.32
4	000895		23,387,965.47	8.66
5	000568		23,262,381.80	8.61
6	002024		21,164,059.55	7.84
7	603589		19,906,803.16	7.37
8	603808		19,718,188.15	7.30
9	000651		18,926,271.30	7.01
10	000596		14,668,641.02	5.43
11	600332		13,304,441.98	4.93
12	600352		10,751,510.00	3.98
13	300373		10,123,447.20	3.75
			9,446,136.62	3.50
			8,852,840.00	3.28

30	603900		5, 629, 242. 74	2. 08
31	603228		5, 575, 662. 00	2. 06
32	300017		5, 448, 947. 80	2. 02
33	603156		5, 421, 578. 93	2. 01

**8.4.3**

	462, 751, 456. 28
	542, 812, 804. 83

**8.5**

1		-	-
2		-	-
3		20, 337, 000. 00	11. 12
		20, 337, 000. 00	11. 12
4		-	-
5		-	-
6		-	-
7		3, 676, 400. 00	

**8.7**

**8.8**

**8.9**

**8.10**

**8.10.1**

**8.10.2**

**8.11**

**8.11.1**

**8.11.2**

**8.11.3**

**8.12**

**8.12.1**

**8.12.2**

**8.12.3**

1		103,805.79
2		-
3		-
4		708,056.99
5		7,604.88
6		-
7		-
8		-
9		819,467.66

**8.12.4**

1	113008		3,676,400.00	2.01

**8.12.5****8.12.6**

## § 9

### 9.1

( )					
3,390	55,232.38	43,514,256.20	23.24%	143,723,504.51	76.76%

### 9.2

	0.00		0.00%

### 9.3

			0
			0

**§ 10**

2015 7 1	1, 472, 766, 279. 25
	235, 331, 682. 58
	99, 398, 637. 26
:	147, 492, 559. 13
"_"	-
	187, 237, 760. 71

§ 11

**11.1**

**11.2**

11.2.1

2018 8 28

11.2.2

**11.3**

**11.4**

**11.5**

50,000.00

2

**11.6**

**11.7**

**11.7.1**

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1

1

2

&lt;1998&gt;29

[2007]48

1

a

b

c

d

2

**11.8**

1	2017 12 31		2018 1 1
2			2018 1 4
3			2018 1 5
4			2018 1 16
5	2017 4		2018 1 20
6			2018 2 1
7			2018 2 2
8			2018 2 6

9			2018 2 7
10			2018 2 10
11	2018 1		2018 2 14
12	53		2018 3 24
13			2018 3 24
14			2018 3 24
15			2018 3 29
16			2018 3 29
17			2018 3 30
18	2017		2018 3 31
19			2018 4 18
20	2018 1		2018 4 20
21			2018 4 21
22			2018 5 7
23			2018 5 8
24			2018 5 17
25			2018 5 28

26			2018 5 31
27			2018 6 7
28			2018 6 15
29			2018 6 20
30			2018 6 22
31			2018 6 28
32			2018 6 30
33	2018 6 30		2018 6 30
34			2018 7 4
35	2018 2		2018 7 20
36			2018 8 2
37	2018 2		2018 8 14
38			2018 8 28
39		2018	2018 8 29
40			2018 8 31
41			2018 9 1

42			2018 9 22
43			2018 9 29
44			2018 10 9
45			2018 10 12
46			2018 10 13
47	3	2018	2018 10 25
48			2018 11 8
49			2018 12 5
50			2018 12 21
51			2018 12 27
52			2018 12 28

## § 12

## 12.1

20%

		20%					
	1	2018 2 9 2018 2 28 2018 3 2 2018 9 11 2018 12 12 2018 12 31	0.00	41,458,540.63	0.00	41,458,540.63	22.14%
	-	-	-	-	-	-	-
1							
2							
3							

## 12.2

## § 13

### 13.1

1

2

3

4

5

6

### 13.2

### 13.3

<http://www.cxfund.com.cn>

2019 3 29