

2019

2019 12 31

2020 4 27

§1

1.1

“ ”

2020 4 23

2019 1 1 2019 12 31

1.2

§1	2
1.1	2
1.2	3
§2	5
2.1	5
2.2	5
2.3	5
2.4	6
2.5	6
§3	7
3.1	7
3.2	7
3.3	9
§4	10
4.1	10
4.2	12
4.3	12
4.4	13
4.5	13
4.6	14
4.7	15
4.8	15
4.9	16
§5	17
5.1	17
5.2	17
5.3	17
§6	18
6.1	18
6.2	18
§7	20
7.1	20
7.2	21
7.3	22
7.4	23
§8	46
8.1	46
8.2	46
8.3	47
8.4	48
8.5	53
8.6	53
8.7	53

8.8	53
8.9	53
8.10	54
8.11	54
8.12	54
§9	56
9.1	56
9.2	56
9.3	56
§10	57
§ 11	58
11.1	58
11.2	58
11.3	58
11.4	58
11.5	58
11.6	58
11.7	58
11.8	60
§12	64
12.1	20%	64
12.2	64
§13	65
13.1	65
13.2	65
13.3	65

	021-61009999	010-67595096	
	zhouyg@cxfund.com.cn	tianqing1.zh@ccb.com	
	4007005566	010-67595096	
	021-61009800	010-66275853	
			25
			1
	68 9	1	
	200120	100033	

§ 3

3.1

3.1.1	2019	2018	2017
	3,732,110.02	17,022,145.67	11,697,429.37
	7,912,164.84	9,075,611.94	17,929,415.50
	0.2893	0.0506	0.0758
	28.64%	5.01%	6.83%
	32.98%	-15.35%	10.02%
3.1.2	2019	2018	2017
	3,076,753.89	-4,716,145.65	1,969,483.95
	0.1293	-0.1508	0.0033
	26,870,863.99	26,551,222.78	602,614,878.70
	1.129	0.849	1.003
3.1.3	2019	2018	2017
	51.44%	13.88%	34.54%

1

2

3

3.2

3.2.1

	6.71%	0.68%	5.47%	0.52%	1.24%	0.16%
	12.23%	0.76%	5.72%	0.60%	6.51%	0.16%
	32.98%	1.05%	26.16%	0.87%	6.82%	0.18%
	23.84%	1.10%	20.95%	0.78%	2.89%	0.32%
	37.67%	1.67%	21.33%	1.08%	16.34%	0.59%
	51.44%	1.48%	31.54%	1.04%	19.90%	0.44%

3.2.3

3.3

	10			
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2019

FOF
300

FOF

4.1.2



2013 7
2015 5

2015
6 2017 4

2019 8
8 - 6

2017 5

2011 3
30 2019 8 31 12 0

4.2

4.3

4.3.1

1

2

1

2

5 1

3

4

5

4.3.2

4.3.3

5%

4.4

4.4.1

4.4.2

2019	12	31	1.129	32.98%
			26.16%	

4.5

“ ” “ ”

2-3 “ ”

2-3

4.6

4.7

“ ”

1/2

4.8

1

2

3

12

10%

			30%	
4		3		
5				
6				15
7				
8				

4.9

2018 7 24 2018 10 19

§5

5.1

5.2

5.3

§6

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	(1)
	(2)
	(3)
	(4)
	(5) ()
	222 30
	2020 4 22

§7

7.1

2019 12 31

		2019 12 31	2018 12 31
	7.4.7.1	2,083,607.46	6,408,441.56
		61,293.59	38,312.04
		11,297.24	57,586.59
	7.4.7.2	24,081,022.89	20,006,171.76
		22,600,134.89	18,647,218.56
		-	-
		1,480,888.00	1,358,953.20
		-	-
		-	-
	7.4.7.3	-	-
	7.4.7.4	-	-
		745,031.03	233,697.26
	7.4.7.5	33,282.40	39,305.93
		-	-
		2,115.07	1,973.84
		-	-
	7.4.7.6	-	-
		27,017,649.68	26,785,488.98
		2019 12 31	2018 12 31
		-	-
		-	-
	7.4.7.3	-	-
		-	-
		61.48	-
		52,173.45	21,704.99
		33,659.57	34,319.89
		5,609.91	5,719.98
		-	-
	7.4.7.7	25,191.94	22,441.25
		-	-
		-	-

		-	-
		-	-
	7.4.7.8	30,089.34	150,080.09
		146,785.69	234,266.20
	7.4.7.9	23,794,110.10	31,267,368.43
	7.4.7.10	3,076,753.89	-4,716,145.65
		26,870,863.99	26,551,222.78
		27,017,649.68	26,785,488.98
2019	12	31	1.129
			23,794,110.10

7.2

2019 1 1 2019 12 31

		2019 1 1 2019 12 31	2018 1 1 2018 12 31
		8,650,275.63	13,979,342.62
1.		72,043.45	610,537.66
	7.4.7.11	34,657.93	218,750.10
		37,385.52	350,691.67
		-	-
		-	41,095.89
		-	-
		-	-
2.	" -"	4,391,232.16	20,692,849.83
	7.4.7.12	4,139,573.32	19,345,579.44
		-	-
	7.4.7.13	-3,139.32	9,098.20
	7.4.7.13.5	-	-
	7.4.7.14	-	-
	7.4.7.15	-	-
	7.4.7.16	254,798.16	1,338,172.19
3.	" -"	4,180,054.82	-7,946,533.73
4.	" -"	-	-
5.	" -"	6,945.20	622,488.86
		738,110.79	4,903,730.68
1	7.4.10.2.1	413,477.61	2,751,044.85
2	7.4.10.2.2	68,912.88	458,507.44

3		-	-
4	7.4.7.19	223,447.00	1,539,351.53
5		-	-
		-	-
6		-	-
7	7.4.7.20	32,273.30	154,826.86
	" -"	7,912,164.84	9,075,611.94
		-	-
	" -"	7,912,164.84	9,075,611.94

7.3

2019 1 1 2019 12 31

	2019 1 1	2019 12 31	
	31,267,368.43	-4,716,145.65	26,551,222.78
	-	7,912,164.84	7,912,164.84
	-7,473,258.33	-119,265.30	-7,592,523.63
" -"			
1.	2,581,448.77	32,868.94	2,614,317.71
2.	-10,054,707.10	-152,134.24	-10,206,841.34
	-	-	-
" -"			
	23,794,110.10	3A15 63.90000	

	600,645,394.75	1,969,483.95	602,614,878.70
	-	9,075,611.94	9,075,611.94
" -"	-569,378,026.32	-15,761,241.54	-585,139,267.86
1.	11,172,913.34	153,643.27	11,326,556.61
2.	-580,550,939.66	-15,914,884.81	-596,465,824.47
" -"	-	-	-
	31,267,368.43	-4,716,145.65	26,551,222.78

7.1 7.4

7.4**7.4.1**

(, "

")

(" ")

(" ") [2009]439

984,485,380.44

(2009) 3646

2009 7 30

60%-95%
5%-40%
80%
300 × 70%+ × 30%
5%

7.4.2

“ ”

7.4.3

2019 12 31 2019

7.4.4

7.4.4.1

1 1 12 31

7.4.4.2

7.4.4.3

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7.4.4.4

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7.4.4.5

7.4.4.9 / ()

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7.4.4.10

1.50%

0.25%

7.4.4.11

1)

2)

3) 12
10%()

30%

4) 3

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7)

8)

7.4.4.12

7.4.4.13

1)

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()> ([2017]6)

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(

[2017]13)

(AMAC)

(

[2013]13)

3)

<

2015 1

> ([2014]24)

()

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

2019 78

[2015]101

[2016]36

[2016]140

[2017]56

[2017]90

1) ()

3%

2)

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(1) 1 1 (1)

50%

1

20%

4)

A

0.10%

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31

!V V•V,0°LW@!M

7.4.7

7.4.7.1

5010

2019 12 31

		1,359,396.40	1,358,953.20	-443.20
		-	-	-
		1,359,396.40	1,358,953.20	-443.20
		-	-	-
		-	-	-
		-	-	-
		22,089,652.33	20,006,171.76	-2,083,480.57

7.4.7.3 /

/

7.4.7.4

7.4.7.4.1

7.4.7.4.2

7.4.7.5

	2019 12 31	2018 12 31
	557.08	1,426.42
	-	-
	-	-
	30.36	18.92
	32,689.35	37,832.10
	-	-
	-	-
	-	-
	-	-
	-	-
	5.61	28.49
	33,282.40	39,305.93

7.4.7.6

7.4.7.7

	2019 12 31	2018 12 31
	25,191.94	22,441.25
	-	-
	25,191.94	22,441.25

7.4.7.8

	2019 12 31	2018 12 31
	-	-
	89.34	80.09
	-	-
	30,000.00	30,000.00
	-	120,000.00
	30,089.34	150,080.09

7.4.7.9

	2019 1 1	2019 12 31
	31,267,368.43	31,267,368.43
	2,581,448.77	2,581,448.77
" -"	-10,054,707.10	-10,054,707.10
- /	-	-
/	-	-
	-	-
" -"	-	-
	23,794,110.10	23,794,110.10

7.4.7.10

	4,262,817.14	-8,978,962.79	-4,716,145.65
	3,732,110.02	4,180,054.82	7,912,164.84
	-1,391,039.22	1,271,773.92	-119,265.30
	480,509.19	-447,640.25	32,868.94

	-1,871,548.41	1,719,414.17	-152,134.24
	-	-	-
	6,603,887.94	-3,527,134.05	3,076,753.89

7.4.7.11

	2019	1	1	2019	12	2018	1	1	2018	12
	31			31			31			
				33,208.30			204,839.18			
				-			-			
				-			-			
				1,147.06			10,688.85			
				302.57			3,222.07			
				34,657.93			218,750.10			

7.4.7.12**7.4.7.12.1**

—

	2019	1	1	2019	2018	1	1		
	12	31	31	12	12	31	31		
				88,612,362.93			781,019,992.63		
				84,472,789.61			761,674,413.19		
				4,139,573.32			19,345,579.44		

7.4.7.13**7.4.7.13.1**

	2019	1	1	2019	2018	1	1	2018	
	12	31	31	12	12	31	31	12	
---				-3,139.32			9,098.20		
---				-			-		
---				-			-		
				-3,139.32			9,098.20		

7.4.7.13.2

—

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	2019 1 1 2019 12 31	2018 1 1 2018 12 31
	1,428,402.60	20,118,901.51
	1,380,396.40	19,481,853.80
	51,145.52	627,949.51
	-3,139.32	9,098.20

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

	2019 1 1 2019 12 31	2018 1 1 2018 12 31
	254,798.16	1,338,172.19
	-	-
	-	-
	254,798.16	1,338,172.19

7.4.7.17

	2019 1 1 2019 12 31	2018 1 1 2018 12 31
1.	4,180,054.82	-7,946,533.73
---	4,176,059.62	-7,946,090.53
---	3,995.20	-443.20
---	-	-
---	-	-
---	-	-
2.	-	-
---	-	-
3.	-	-
:	-	-
	4,180,054.82	-7,946,533.73

7.4.7.18

	2019 1 1 2019 12 31	2018 1 1 2018 12 31
	5,834.64	617,871.53
	1,110.56	4,617.33
	6,945.20	622,488.86

25%

7

7.4.7.19

	2019 1 1 2019 12 31	2018 1 1 2018 12 31
	223,447.00	1,539,351.53
	-	-
	-	-
	-	-
	-	-
	223,447.00	1,539,351.53

7.4.7.20

	2019 1 1 2019 12 31	2018 1 1 2018 12 31
	30,000.00	30,000.00
	-	120,000.00
	-	-
	2,273.30	4,826.86
	32,273.30	154,826.86

7.4.8**7.4.8.1****7.4.8.2****7.4.9**

" "	
" "	
" ")	
" ")	
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" ")	
" "	
" "	

7.4.10**7.4.10.1****7.4.10.1.1****7.4.10.1.2****7.4.10.1.3****7.4.10.1.4****7.4.10.1.5****7.4.10.2****7.4.10.2.1**

	2019 1 1 31	2019 12	2018 1 1 31	2018 12
		413,477.61		2,751,044.85
		105,363.18		109,918.79

1.50%

= × 1.50%/

7.4.10.2.2

	2019 1 1 31	2019 12	2018 1 1 31	2018 12
		68,912.88		458,507.44

0.25%

= × 0.25%/

7.4.10.3**()****()****7.4.10.4****7.4.10.4.1****7.4.10.4.2****7.4.10.5****7.4.10.5.1****7.4.10.5.2****7.4.10.6**

	2019 1 1			2019 12 31			2018 1 1			2018 12 31		
	2,083,607.46			33,208.30			6,408,441.56				204,839.18	

"

"

2019 12 31
38,312.04

61,293.59 2018 12 31

7.4.10.7

7.4.10.8

7.4.11

7.4.12 2019 12 31

7.4.12.1 /

/

7.4.12.2

7.4.12.3

7.4.12.3.1

7.4.12.3.2

7.4.12.4

7.4.13

7.4.13.1

"

"

7.4.13.2

10%

10%

7.4.13.2.1

	2019 12 31	2018 12 31
A-1	-	-
A-1	-	-
	1,480,888.00	0.00

	1,480,888.00	0.00
--	--------------	------

7.4.13.2.2**7.4.13.2.3****7.4.13.2.4**

	2019 12 31	2018 12 31
AAA	0.0	0.00
AAA	0.00	0.00
	0.00	1,358,953.20
	0.00	1,358,953.20

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

2019	12	31	
------	----	----	--

		3,637,086.29	-	-	-	-23,233,777.70	26,870,863.99
2018	12	31	6	6	1-5	5	
			-1				
		6,408,441.56	-	-	-	-	6,408,441.56
		38,312.04	-	-	-	-	38,312.04
		57,586.59	-	-	-	-	57,586.59
		1,358,953.20	-	-	-	-18,647,218.56	20,006,171.76
		-	-	-	-	233,697.26	233,697.26
		-	-	-	-	39,305.93	39,305.93
		-	-	-	-	1,973.84	1,973.84
		-	-	-	-	-	-
		7,863,293.39	-	-	-	-18,922,195.59	26,785,488.98
		-	-	-	-	21,704.99	21,704.99
		-	-	-	-	34,319.89	34,319.89
		-	-	-	-	5,719.98	5,719.98
		-	-	-	-	22,441.25	22,441.25
		-	-	-	-	150,080.09	150,080.09
		-	-	-	-	234,266.20	234,266.20
		7,863,293.39	-	-	-	-18,687,929.39	26,551,222.78

7.4.13.4.1.2

			2019	12	31
				2018	12
					31
	27			186.33	958.76
	27			-186.33	-958.76

7.4.13.4.2

7.4.13.4.3

(b)

(i)

2019 12 31

22,600,134.89

1,480,888.00

(2018 12 31

18,454,409.84

1,358,953.20

192,808.72)

(ii)

()

(iii)

192,808.72

0.00

192,808.72

49,212.80

0.00

0.00

0.00

0.00

(2)

§8

8.1

			%
1		22,600,134.89	83.65
		22,600,134.89	83.65
2		-	-
3		1,480,888.00	5.48
		1,480,888.00	5.48
		-	-
4		-	-
5		-	-
6		-	-
		-	-
7		2,144,901.05	7.94
8		791,725.74	2.93
9		27,017,649.68	100.00

8.2

8.2.1

A		-	-
B		-	-
C		14,300,013.89	53.22
D		-	-
E		-	-
F		2,206,163.00	8.21
G		2,413,044.00	8.98
H		-	-
I		-	-
J		1,645,916.00	6.13
K		-	-
L		1,227,510.00	4.57
M		-	-

N		807,488.00	3.01
O		-	-
P		-	-
Q		-	-
R		-	-
S		-	-
		22,600,134.89	84.11

8.2.2

8.3

1	603558	115,100	1,237,325.00	4.60
2	601888	13,800	1,227,510.00	4.57
3	002508	35,390	1,196,535.90	4.45
4	600600	21,500	1,096,500.00	4.08
5				

26	002697		63,700	480,935.00	1.79
27	000895		7,233	209,973.99	0.78
28	601933		18,500	139,490.00	0.52
29	601366		23,600	132,868.00	0.49
30	002511		9,700	122,802.00	0.46

8.4

8.4.1

2% 20

1	002912			2,173,303.00	8.19
2	601128			2,168,652.00	8.17
3	002352			1,903,138.00	7.17
4	002643			1,695,522.00	6.39
5	300188			1,654,547.00	6.23
6	603589			1,651,902.00	6.22
7	603043			1,599,216.00	6.02
8	600600			1,590,981.00	5.99
9	600352			1,585,836.00	5.97
10	601933			1,459,426.06	5.50
11	300413			1,442,584.00	5.43
12	603886			1,336,464.00	5.03
13	300203			1,239,724.00	4.67
14	002511			1,237,702.00	4.66
15	601021			1,229,014.00	4.63
16	300567			1,213,562.00	4.57
17	601888			1,197,564.00	4.51
18	002697			1,193,502.00	4.50
19	002690			1,188,896.62	4.48
20	600104			1,172,978.00	4.42
21	000895			1,159,970.00	4.37
22	603708			1,149,360.00	4.33
23	600703			1,142,834.00	4.30
24	300244			1,130,206.00	4.26
25	002572			1,115,443.00	4.20

26	600332		1,101,192.00	4.15
27	600027		1,100,255.00	4.14
28	603369		1,098,501.00	4.14
29	300138		1,066,169.00	4.02
30	603558		1,040,462.00	3.92
31	300285		1,003,666.00	3.78
32	002242		971,903.00	3.66
33	603799		960,860.00	3.62
34	300496		937,784.00	3.53
35	000961		933,500.00	3.52
36	002709		924,448.00	3.48
37	603711		921,068.00	3.47
38	002340		919,600.00	3.46
39	002372		916,599.00	3.45
40	603160		886,281.00	3.34
41	000852		882,952.00	3.33
42	002640		873,662.00	3.29
43	002508		838,998.00	3.16
44	300575		827,159.00	3.12
45	600882		822,976.00	3.10
46	601398		822,214.00	3.10
47	000333		821,863.00	3.10
48	600548		819,783.00	3.09
49	300601		815,679.00	3.07
50	603816		807,034.20	3.04
51	300133		806,700.00	3.04
52	300760		793,131.00	2.99
53	601689		781,318.00	2.94
54	603978		780,875.00	2.94
55	603568		779,953.00	2.94
56	002568		739,224.00	2.78
57	603730		735,822.00	2.77
58	603214		708,770.00	2.67
59	002562		684,039.00	2.58
60	002732		675,434.00	2.54
61	300630		660,527.00	2.49

62	300144	639,229.00	2.41
63	300205	618,200.00	2.33
64	002468	616,004.00	2.32
65	600480	612,182.98	2.31
66	000821	608,400.00	2.29
67	600466	606,275.00	2.28
68	002594	596,750.00	2.25
69	300316	596,600.00	2.25
70	300525	594,351.00	2.24
71	000661	583,472.00	2.20
72	603345	573,941.02	2.16
73	300308	570,198.00	2.15
74	002727	562,451.00	2.12
75	300294	550,912.00	2.07
76	600132	547,050.00	2.06
77	601818	546,916.00	2.06
78	002777	546,150.00	2.06
79	300349	540,248.00	2.03
80	000568	539,850.00	2.03
81	601318	535,577.00	2.02

13	603808		1,496,765.50	5.64
14	300244		1,468,998.00	5.53
15	002690		1,455,502.00	5.48
16	300413		1,424,099.00	5.36
17	000895		1,382,322.86	5.21
18	601128		1,381,087.56	5.20
19	601933		1,377,700.00	5.19
20	603160		1,369,263.00	5.16
21	300349		1,358,725.00	5.12
22	300285		1,346,083.00	5.07
23	300496		1,257,009.00	4.73
24	002352		1,169,354.00	4.40
25	000961		1,126,979.00	4.24
26	002821		1,117,685.00	4.21
27	002697		1,083,941.00	4.08
28	600027		1,051,110.00	3.96
29	600332		1,040,341.00	3.92
30	002511		1,030,586.00	3.88
31	600104		1,010,622.00	3.81
32	603711		971,136.00	3.66
33	603799		933,417.00	3.52
34	000661		926,438.00	3.49
35	300525		921,590.00	3.47
36	300575		870,028.00	3.28
37	002562		867,688.40	3.27
38	002810		860,144.60	3.24
39	300133		850,388.00	3.20
40	603043		840,281.00	3.16
41	000852		831,450.00	3.13
42	300054		822,531.00	3.10
43	603589		811,532.00	3.06
44	002078		803,320.00	3.03
45	603259		799,499.00	3.01
46	002340		794,300.00	2.99
47	300205		782,955.00	2.95
48	002372		768,294.00	2.89
49	000333		768,018.00	2.89
50	601021		766,186.00	2.89

51	603978	763,280.00	2.87
52	300595	733,516.00	2.76
53	600167	718,184.00	2.70
54	603730	710,816.00	2.68
55	600480	710,760.00	2.68
56	002709	698,900.00	2.63
57	603345	696,588.98	2.62
58	002050	685,220.00	2.58
59	300308	681,528.00	2.57
60	300098	670,403.04	2.52
61	600132	665,424.00	2.51
62	600491	651,912.00	2.46
63	300630	643,000.00	2.42
64	603369	621,438.00	2.34
65	603816	607,983.00	2.29
66	300144	607,969.00	2.29
67	000821	591,029.00	2.23
68	300316	586,544.00	2.21
69	002382	584,200.00	2.20
70	603328	581,966.00	2.19
71	002317	579,861.00	2.18
72	002025	570,226.00	2.15
73	002230	566,200.00	2.13
74	002777	564,469.00	2.13
75	002468	561,472.00	2.11
76	600600	550,943.00	2.08
77	603708	548.349998	

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8.5

1		1,480,888.00	5.51
2		-	-
3		-	-
		-	-
4		-	-
5		-	-
6		-	-
7		-	-
8		-	-
9		-	-
10		1,480,888.00	5.51

8.6

1	019611	19	01	14,800	1,480,888.00	5.51

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		11,297.24
2		745,031.03
3		-
4		33,282.40
5		2,115.07
6		-
7		-
8		-
9		791,725.74

8.12.4

8.12.5

8.12.6

§9

9.1

()					
2,007	11,855.56	0.00	0.00%	23,794,110.10	100.00%

9.2

	143,061.32	0.60%

9.3

	10-50
	0

§10

2009年7月30日	984,485,380.44
	31,267,368.43
	2,581,448.77
:	10,054,707.10
"_"	-
	23,794,110.10

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11.1

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2019 3 2

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	24,259.20	1.58%	-	-	-	-
	1,485,953.25	97.04%	-	-	-	-
	-	-	-	-	-	-
	-	-	-	-	-	-
	-	-	-	-	-	-
	-	-	-	-	-	-
	21,000.00	1.37%	-	-	-	-
	-	-	-	-	-	-
	-	-	-	-	-	-

11.8

1	2018 12 31		2019 1 1
2	()		2019 1 10
3	2018 4		2019 1 19
4			2019 1 22
5			2019 3 1
6			2019 3 2
7	2019 1		2019 3 15

8			2019 3 28
9	2018		2019 3 29
10			2019 3 30
11			2019 4 8
12			2019 4 15
13	2019 1		2019 4 22
14			2019 4 26
15			2019 5 7
16			2019 5 14
17			2019 5 22
18			2019 6 22
19			2019 6 26
20			2019 6 27
21	2019 6 30		2019 7 1
22	2019		2019 7 18

	2		
23			2019 8 8
24		2019	2019 8 27
25			2019 8 31
26		2019 2	2019 9 12
27			2019 9 25
28	3	2019	2019 10 23
29	2019		2019 10 23
30			2019 12 30
31			2019 12 30
32	66		2019 12 31
33	66		2019 12 31
34			2019 12 31

35			2019 12 31
36			2019 12 31

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20%

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