



## Monthly Return for Equity Issuer and Hong Kong Depositary Receipts listed under Chapter 19B of the Exchange Listing Rules on Movements in Securities

For the month ended: 30 September 2021

Status: New Submission

To : Hong Kong Exchanges and Clearing Limited

Name of Issuer: Standard Chartered PLC

Date Submitted: 06 October 2021

**I. Movements in Authorised / Registered Share Capital** Not applicable

## II. Movements in Issued Shares

1. Type of shares	Ordinary shares	Class of shares	Not applicable	Listed on SEHK (Note 1)	Yes	
Stock code	02888	Description				
Balance at close of preceding month			3,102,842,986			
Increase / decrease (-)			-23,723,886			
Balance at close of the month			3,079,119,100			

2. Type of shares	Preference shares	Class of shares	Other class (specify in description)	Listed on SEHK (Note 1)	No	
Stock code	N/A	Description	99,250,000 8 1/4 per cent non-cumulative irredeemable preference shares of GBP1 each with no equity voting rights; 96,035,000 7 3/8 per cent non-cumulative irredeemable preference shares of GBP1 each with no equity voting rights			
Balance at close of preceding month			195,285,000			
Increase / decrease (-)						
Balance at close of the month			195,285,000			

3. Type of shares	Preference shares	Class of shares	Other class (specify in description)	Listed on SEHK (Note 1)	No	
Stock code	N/A	Description	7,500 6.409 per cent non-cumulative redeemable preference shares of US\$5 each with no equity voting rights; 7,500 7.014 per cent non-cumulative redeemable preference shares of US\$5 each with no equity voting rights			
Balance at close of preceding month			15,000			
Increase / decrease (-)						
Balance at close of the month			15,000			

### III. Details of Movements in Issued Shares

#### (A). Share Options (under Share Option Schemes of the Issuer)

1. Type of shares issuable		Ordinary shares	Class of shares	Not applicable	Shares issuable to be listed on SEHK (Note 1)	No	
Stock code of shares issuable (if listed on SEHK) (Note 1)							
Particulars of share option scheme	Number of share options outstanding at close of preceding month	Movement during the month		Number of share options outstanding at close of the month	No. of new shares of issuer issued during the month pursuant thereto (A)	No. of new shares of issuer which may be issued pursuant thereto as at close of the month	The total number of securities which may be issued upon exercise of all share options to be granted under the scheme at close of the month
1). 2011 Discretionary Share Plan - Performance Share Award	6,902	Lapsed	-516	6,386	0	6,386	6,386
General Meeting approval date (if applicable)		05 May 2011					
2). 2011 Discretionary Share Plan - Restricted Share Award	41,506,643	Exercised	-1,038,363	40,296,068	0	40,296,068	40,296,068
		Lapsed	-172,212				
General Meeting approval date (if applicable)		05 May 2011					
3). 2011 Discretionary Share Plan - Management Long Term Incentive Plan	7,485,135	Exercised	-20,686	7,464,449	0	7,464,449	7,464,449
General Meeting approval date (if applicable)		05 May 2011					
4). 2011 Discretionary Share Plan - Executive Long Term Incentive Plan	4,159,350			4,159,350	0	4,159,350	4,159,350
General Meeting approval date (if applicable)		05 May 2011					

5).	Standard Chartered 2013 Sharesave Plan	13,995,049	Granted	4,274,039	18,093,548	0	18,093,548	18,093,548
			Exercised	-41				
			Lapsed	-175,499				
General Meeting approval date (if applicable)		08 May 2013						
6).	2021 Discretionary Share Plan - Restricted Share Award	197,374	Granted	82,791	264,051	0	264,051	264,051
			Lapsed	-16,114				
General Meeting approval date (if applicable)		12 May 2021						

Total A (Ordinary shares): \_\_\_\_\_ 0

Total funds raised during the month from exercise of options: GBP \_\_\_\_\_ 0

Remarks:

Ordinary Shares mean Ordinary Shares of US\$0.50 each with voting rights for every US\$2 nominal

**(B). Warrants to Issue Shares of the Issuer which are to be Listed** Not applicable

**(C). Convertibles (i.e. Convertible into Issue Shares of the Issuer which are to be Listed)**

1. Type of shares issuable	Ordinary shares	Class of shares	Not applicable	Shares issuable to be listed on SEHK (Note 1)	Yes		
Stock code of shares issuable (if listed on SEHK) (Note 1)		02888					
Description of the Convertibles	Currency	Amount at close of preceding month	Movement during the month		Amount at close of the month	No. of new shares of issuer issued during the month pursuant thereto (C)	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
1). US\$2 billion 7.5% Resetting Perpetual Subordinated Contingent Convertible Securities	USD	1,004,295,000	Redeemed	-5,300,000	998,995,000	0	129,202,664
Type of convertibles	Others (Please specify)		Ordinary shares				
Stock code of the Convertibles (if listed on SEHK) (Note 1)	04305						

Subscription/Conversion price		USD	7.732				
General Meeting approval date (if applicable)		04 May 2016					
2).	US\$1 billion 7.75% Resetting Perpetual Subordinated Contingent Convertible Securities	USD	1,000,000,000		1,000,000,000	0	129,332,643
Type of convertibles		Others (Please specify)		Ordinary shares			
Stock code of the Convertibles (if listed on SEHK) (Note 1)		05348					
Subscription/Conversion price		USD	7.732				
General Meeting approval date (if applicable)		04 May 2016					
3).	SGD750,000,000 5.375% Resetting Perpetual Subordinated Contingent Convertible Securities	SGD	750,000,000		750,000,000	0	68,750,572
Type of convertibles		Others (Please specify)		Ordinary Shares			
Stock code of the Convertibles (if listed on SEHK) (Note 1)		05986					
Subscription/Conversion price		SGD	10.909				
General Meeting approval date (if applicable)		08 May 2019					
4).	US\$1 billion 6% Resetting Perpetual Subordinated Contingent Convertible Securities	USD	1,000,000,000		1,000,000,000	0	187,582,067
Type of convertibles		Others (Please specify)		Ordinary Shares			
Stock code of the Convertibles (if listed on SEHK) (Note 1)		40276					
Subscription/Conversion price		USD	5.331				
General Meeting approval date (if applicable)		06 May 2020					

5).	US\$1.25 billion 4.75% Resetting Perpetual Subordinated Contingent Convertible Securities	USD	1,250,000,000		1,250,000,000	0	196,757,437
-----	---	-----	---------------	--	---------------	---	-------------

Type of convertibles	Others (Please specify)	Ordinary Shares
Stock code of the Convertibles (if listed on SEHK) (Note 1)	40518	
Subscription/Conversion price	USD	6.353
General Meeting approval date (if applicable)	06 May 2020	

Total C (Ordinary shares): 0

Remarks:

Ordinary Shares mean Ordinary Shares of US\$0.50 each with voting rights for every US\$2 nominal

**(D). Any other Agreements or Arrangements to Issue Shares of the Issuer which are to be listed, including Options (other than Share Options Schemes)** Not applicable

**(E). Other Movements in Issued Share**

1. Type of shares issuable (Note 5 and 6)	Ordinary shares	Class of shares	Not applicable	Shares issuable to be listed on SEHK (Note 1, 5 and 6)	Yes	
Stock code of shares issuable (if listed on SEHK) (Note 1, 5 and 6)	02888					
Type of Issue	At price (if applicable)		Issue and allotment date (Note 5 and 6)	General Meeting approval date (if applicable)	No. of new shares of issuer issued during the month pursuant thereto (E)	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
	Currency	Amount				
1). Repurchase of shares			01 September 2021	12 May 2021	-6,395,278	
2). Repurchase of shares			07 September 2021	12 May 2021	-5,460,000	
3). Repurchase of shares			14 September 2021	12 May 2021	-6,994,883	
4). Repurchase of shares			20 September 2021	12 May 2021	-4,873,725	

Total E (Ordinary shares): -23,723,886

Remarks:

- (1) A total of 6,395,278 ordinary shares (previously repurchased on market on 23 to 27 August 2021) were cancelled on 1 September 2021.  
 (2) A total of 5,460,000 ordinary shares (previously repurchased on market on 31 August and 1 to 3 September 2021) were cancelled on 7 September 2021.  
 (3) A total of 6,994,883 ordinary shares (previously repurchased on market on 6 to 10 September 2021 ) were cancelled on 14 September 2021.  
 (4) A total of 4,873,725 ordinary shares (previously repurchased on market on 13 to 16 September 2021 ) were cancelled on 20 September 2021.

Total increase / decrease (-) in Ordinary shares during the month (i.e. Total of A to E)	0
--	---

Total increase / decrease (-) in Ordinary shares during the month (i.e. Total of A to E)	-23,723,886
--	-------------

## Remarks:

Ordinary Shares mean Ordinary Shares of US\$0.50 each with voting rights for every US\$2 nominal

**IV. Information about Hong Kong Depositary Receipt (HDR)** Not applicable



## V. Confirmations

We hereby confirm to the best knowledge, information and belief that, in relation to each of the securities issued by the issuer during the month as set out in Part III and IV which has not been previously disclosed in a return published under Main Board Rule 13.25A / GEM Rule 17.27A, it has been duly authorised by the board of directors of the listed issuer and, insofar as applicable:

(Note 2)

- (i) all money due to the listed issuer in respect of the issue of securities has been received by it;
- (ii) all pre-conditions for listing imposed by the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited under "Qualifications of listing" have been fulfilled;
- (iii) all (if any) conditions contained in the formal letter granting listing of and permission to deal in the securities have been fulfilled;
- (iv) all the securities of each class are in all respects identical (Note 2);
- (v) all documents required by the Companies (Winding Up and Miscellaneous Provisions) Ordinance to be filed with the Registrar of Companies have been duly filed and that compliance has been made with other legal requirements;
- (vi) all the definitive documents of title have been delivered/are ready to be delivered/are being prepared and will be delivered in accordance with the terms of issue;
- (vii) completion has taken place of the purchase by the issuer of all property shown in the listing document to have been purchased or agreed to be purchased by it and the purchase consideration for all such property has been duly satisfied; and
- (viii) the trust deed/deed poll relating to the debenture, loan stock, notes or bonds has been completed and executed, and particulars thereof, if so required by law, have been filed with the Registrar of Companies.

Submitted by: Wong Yung Cindy

Title: Assistant Company Secretary

(Director, Secretary or other Duly Authorised Officer)

### Notes

1. SEHK refers to Stock Exchange of Hong Kong.
2. Items (i) to (viii) are suggested forms of confirmation which may be amended to meet individual cases. Where the issuer has already made the relevant confirmations in a return published under Main Board Rule 13.25A / GEM Rule 17.27A in relation to the securities issued, no further confirmation is required to be made in this return.

3. "Identical" means in this context:
  - . the securities are of the same nominal value with the same amount called up or paid up;
  - . they are entitled to dividend/interest at the same rate and for the same period, so that at the next ensuing distribution, the dividend/interest payable per unit will amount to exactly the same sum (gross and net); and
  - . they carry the same rights as to unrestricted transfer, attendance and voting at meetings and rank pari passu in all other respects.
4. If there is insufficient space, please submit additional document.
5. In the context of repurchase of shares:
  - . "shares issuable to be listed on SEHK" should be construed as "shares repurchased listed on SEHK"; and
  - . "stock code of shares issuable (if listed on SEHK)" should be construed as "stock code of shares repurchased (if listed on SEHK)"; and
  - . "type of shares issuable" should be construed as "type of shares repurchased"; and
  - . "issue and allotment date" should be construed as "cancellation date"
6. In the context of redemption of shares:
  - . "shares issuable to be listed on SEHK" should be construed as "shares redeemed listed on SEHK"; and
  - . "stock code of shares issuable (if listed on SEHK)" should be construed as "stock code of shares redeemed (if listed on SEHK)"; and
  - . "type of shares issuable" should be construed as "type of shares redeemed"; and
  - . "issue and allotment date" should be construed as "redemption date"