Contents

Shareholdings in CCH Entities.............................................................................................................3
1. Understanding the screens..................................................................................................................4
2. Issue of shares......................................................................................................................................8
3. Transfer of shares .................................................................................................................................9
4. Transmission of shares .........................................................................................................................10
5. Redemption of shares .........................................................................................................................11
6. Repurchase of shares .........................................................................................................................12
7. Making shareholder inactive ...............................................................................................................13
8. Adding a shareholder ..........................................................................................................................14
9. Creating a joint shareholding (trustees) ............................................................................................15
10. Removing a shareholder ...................................................................................................................16
11. Updating shareholdings after import .............................................................................................17
CCH Entities: Shareholder and Shareholdings

This guide will help you to understand shareholders and shareholdings in CCH Companies.

Shareholdings in CCH Entities

There are a number parts to the shareholdings functionality:
1. Understanding the screens

Screen 1

The Shareholding screen will show the shareholders, share parcels and number of shares in each.

- **OPEN**: Open the share parcel you have highlighted to add share transactions including issues, transfers and transmissions.
- **ADD**: Add a new shareholder or group of shareholders so that shares can be issued to them. In the next screen you will also find ADD, MODIFY & DELETE (see below).
- **MODIFY**: Add a share class. Also change the name of the shareholder, add a new shareholder to the share parcel to create a joint shareholding or remove a shareholder from the share parcel.
- **DELETE**: Remove a shareholder or joint shareholders. This can only be done if there are no share transactions recorded.
Screen 2

If you select ADD in screen 1, you will see the New Share Parcel screen. Use this screen to add a new shareholder or group of shareholders.

− **ADD**: Adds a person or another person to the shareholding to create a joint shareholding.
− **MODIFY**: Modifies people and companies within the joint shareholding.
− **DELETE**: Removes a person from the joint shareholding.
Screen 3

If you select **MODIFY** in **Screen 1**, you will see the **Share Parcel Details** screen. Use this screen to add a further shareholder to create a group shareholding or to remove a person from a group shareholding.

Use this screen to update a share class.

- **ADD**: Adds another person to the shareholding to create a joint shareholding.
- **MODIFY**: Modifies people and companies within the joint shareholding.
- **DELETE**: Removes a person from the joint shareholding.
Screen 4

If you select **OPEN** in Screen 1, you will see the **Share Transactions** screen. Use this screen to add new transactions to this shareholder.

− **ADD**: Adds a share transaction of issue, transfer, transmission, redemption or repurchase.
− **MODIFY**: Updates an existing transaction.
− **DELETE**: Removes a transaction.
2. Issue of shares

Open the Shareholding screen, highlight the person receiving the shares, select OPEN, and then ADD.

- Add the date.
- Select type ‘Issue’.
- Add the number of shares.
- Add the share price (if required).
- Add any reference or details (if required).

Select SAVE.

The details of the share issue will be added to the Share Register.
3. Transfer of shares

Open the Shareholding screen, highlight the person who is transferring the shares, select OPEN, and then ADD.

- Add the date.
- Select type ‘Transfer To’.
- Add the number of shares.
- Add the share price (if required).
- Select the name of the person receiving the shares. They must already be listed as a shareholder. See Adding a shareholder.
- Add any reference or details (if required).

Select SAVE.

The details of the share transfer will be added to the Share Register.
4. Transmission of shares

Open the Shareholding screen, highlight the person who is transmitting the shares, select OPEN, and then ADD.

- Add the date.
- Select type ‘Transmission To’.
- Add the number of shares.
- Add the share price (if required).
- Select the name of the person receiving the shares. They must already be listed as a shareholder. See Adding a shareholder.
- Add any reference or details (if required).

Select SAVE.

The details of the share transmission will be added to the Share Register.
5. Redemption of shares

Open the Shareholding screen, highlight the person who is redeeming the shares, select OPEN, and then ADD.

- Add the date.
- Select type ‘Redemption’.
- Add the number of shares.
- Add the share price (if required).
- Select the name of the person receiving the shares. They must already be listed as a shareholder. See Adding a shareholder.
- Add any reference or details (if required).

Select SAVE.

The details of the share redemption will be added to the Share Register.
6. Repurchase of shares

Open the Shareholding screen, highlight the person whose share are being repurchased, select OPEN, and then ADD.

- Add the date.
- Select type ‘Repurchase’.
- Add the number of shares.
- Add the share price (if required).
- Select the name of the person receiving the shares. They must already be listed as a shareholder. See Adding a shareholder.
- Add any reference or details (if required)

Select SAVE.

The details of the share redemption will be added to the Share Register.
7. Making shareholder inactive

If a shareholder has transferred or transmitted all of their shares, you can make them Inactive.

Open the Shareholding screen, highlight the person you wish to make inactive, select MODIFY, and then check the Inactive box.

The Inactive box will only be displayed if the shareholder has no shares.

You cannot delete a shareholder once there have been share transactions logged in the Share Register.
8. Adding a shareholder

Open the Shareholding screen and select ADD.

Select ADD, then Select/Search for an existing person or company or Create New Person.
9. Creating a joint shareholding (trustees)

Open the Shareholding screen and select ADD. Search/Select the first person.

Select ADD, then Search/Select name of second person. Repeat until all names are added.
10. Removing a shareholder

A shareholder should only be removed if they have no share transactions in the register. Follow the instructions for making a shareholder inactive if there are share transactions. Open the Shareholding screen and select DELETE.

If there are any share transactions recorded for this person, you will not be able to delete them.

To remove one party from a joint shareholding, open the Shareholding screen, highlight the joint shareholding and select MODIFY. In the next screen, highlight the details of the individual you wish to delete and select DELETE.
11. Updating shareholdings after import

The import from NZCO includes:

1. names of shareholders
2. number of shares held by each shareholder (or groups of shareholders) at time of import.

Additional information you may want to add:

1. share class
2. share transaction history for last 10 years.

Adding a share class

1. highlight the shareholder(s) and select MODIFY
2. select the appropriate share class.
3. SAVE.

Go to SETUP > SHARE CLASSES to add more share classes to this list.
Adding share transaction history

1. Highlight the shareholder and select **OPEN**.
2. The imported shares will show as ‘import’, change the type to **Issue** and update the date of issue.
3. **SAVE > RETURN TO SUMMARY**

<table>
<thead>
<tr>
<th>Date</th>
<th>20/06/2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type</td>
<td>Issue</td>
</tr>
<tr>
<td>Shares</td>
<td>100</td>
</tr>
<tr>
<td>Price</td>
<td>1.00</td>
</tr>
<tr>
<td>Reference No</td>
<td></td>
</tr>
<tr>
<td>Details</td>
<td></td>
</tr>
</tbody>
</table>

If there have been no further share movements in the past 10 years, the record is now complete.

If there have been share movements, see information above on adding the various types of share transactions.

Share transactions can be backdated to complete your full 10 year history.