



Monthly Return of Equity Issuer on Movements in Securities

For the month ended (dd/mm/yyyy) : 30/04/2017

To : Hong Kong Exchanges and Clearing Limited

Name of Issuer Standard Chartered PLC

Date Submitted 8 May 2017

I. Movements in Authorised Share Capital

1. Ordinary Shares

(1) Stock code : N/A Description : _____

	No. of ordinary shares	Par value (<i>State currency</i>)	Authorised share capital (<i>State currency</i>)
Balance at close of preceding month	_____	_____	_____
Increase/(decrease)	_____	_____	_____
Balance at close of the month	_____	_____	_____

(2) Stock code : N/A Description : _____

	No. of ordinary shares	Par value (<i>State currency</i>)	Authorised share capital (<i>State currency</i>)
Balance at close of preceding month	_____	_____	_____
Increase/(decrease)	_____	_____	_____
Balance at close of the month	_____	_____	_____

2. Preference Shares

Stock code :	<u>N/A</u>	Description :	_____	
		No. of preference shares	Par value (<i>State currency</i>)	Authorised share capital (<i>State currency</i>)
Balance at close of preceding month		_____	_____	_____
Increase/(decrease)		_____		_____
Balance at close of the month		_____	_____	_____

3. Other Classes of Shares

Stock code :	<u>N/A</u>	Description :	_____	
		No. of other classes of shares	Par value (<i>State currency</i>)	Authorised share capital (<i>State currency</i>)
Balance at close of preceding month		_____	_____	_____
Increase/(decrease)		_____		_____
Balance at close of the month		_____	_____	_____

Total authorised share capital at the end of the month (*State currency*) :

II. Movements in Issued Share Capital

	No. of ordinary shares		No of preference shares		No. of other classes of shares
	(1)	(2)	£1.00	US\$5.00	
Balance at close of preceding month	<u>3,289,792,069</u>	<u>N/A</u>	<u>195,285,000</u>	<u>15,000</u>	<u>N/A</u>
Increase/ (decrease) during the month	<u>536,780</u>	<u></u>	<u>N/A</u>	<u>N/A</u>	<u></u>
Balance at close of the month	<u>3,290,328,849</u>	<u></u>	<u>195,285,000</u>	<u>15,000</u>	<u></u>

III. Details of Movements in Issued Share Capital

Share Options (under Share Option Schemes of the Issuer)

Particulars of share option scheme including EGM approval date (dd/mm/yyyy) and class of shares issuable	Movement during the month				No. of new shares of issuer issued during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
	Granted	Exercised	Cancelled	Lapsed		
<u>1. 2006 Restricted Share Schemes</u> (/ /) Ordinary shares	Nil	33,012	Nil	-30,239 ¹	33,012	397,627
(Note 1)						
<u>2. 2001 Performance Share Plan</u> (/ /) Ordinary shares	Nil	Nil	Nil	Nil	Nil	64,027
(Note 1)						
<u>3. 2011 Discretionary Share Plan – Performance Share Award</u> (/ /) Ordinary shares	Nil	1,730	Nil	Nil	1,730	379,001
(Note 1)						
<u>4. 2011 Discretionary Share Plan – Restricted Share Award</u> (/ /) Ordinary shares	Nil	501,119	Nil	60,738	501,119	28,031,387
(Note 1)						
<u>5. 2011 Discretionary Share Plan – Management Long Term Incentive Plan</u> (/ /) Ordinary shares	Nil	Nil	Nil	11,576	Nil	23,734,615
(Note 1)						
<u>6. 2011 Discretionary Share Plan – Executive Long Term Incentive Plan</u> (/ /) Ordinary shares	Nil	Nil	Nil	Nil	Nil	2,545,320
(Note 1)						
<u>7. 2004 International Sharesave Schemes</u> (/ /) Ordinary shares	Nil	Nil	Nil	2,333	Nil	275,849
(Note 1)						
<u>8. 2004 UK Sharesave Plan</u> (/ /) Ordinary shares	Nil	Nil	Nil	Nil	Nil	3,119
(Note 1)						
<u>9. Standard Chartered 2013 Sharesave Plan</u> (/ /) Ordinary shares	Nil	919	Nil	139,281	919	12,095,467
(Note 1)						
¹ 30,239 options were lapsed in the vendor system inadvertently by not considering the exercise requests submitted by two employees before the cut-off date. Hence options are reinstated and then exercised						
					Total A. (Ordinary shares)	536,780
					(Preference shares)	N/A
					(Other class)	N/A
Total funds raised during the month from exercise of options (State currency)						£5,125.81

Warrants to Issue Shares of the Issuer which are to be Listed

Description of warrants (Date of expiry - dd/mm/yyyy)	Currency of nominal value	Nominal value at close of preceding month	Exercised during the month	Nominal value at close of the month	No. of new shares of issuer issued during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
1. N/A						
(/ /)						
Stock code (if listed)						
Class of shares issuable (<i>Note 1</i>)						
Subscription price						
EGM approval date (if applicable) (dd/mm/yyyy)		(/ /)				
2. N/A						
(/ /)						
Stock code (if listed)						
Class of shares issuable (<i>Note 1</i>)						
Subscription price						
EGM approval date (if applicable) (dd/mm/yyyy)		(/ /)				
3. N/A						
(/ /)						
Stock code (if listed)						
Class of shares issuable (<i>Note 1</i>)						
Subscription price						
EGM approval date (if applicable) (dd/mm/yyyy)		(/ /)				
4. N/A						
(/ /)						
Stock code (if listed)						
Class of shares issuable (<i>Note 1</i>)						
Subscription price						
EGM approval date (if applicable) (dd/mm/yyyy)		(/ /)				
				Total B.	(Ordinary shares) N/A	
					(Preference shares) N/A	
					(Other class) N/A	

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

Class and description	Currency of amount outstanding	Amount at close of preceding month	Converted during the month	Amount at close of the month	No. of new shares of issuer issued during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
<u>1. US\$2 billion 6.5% Resetting</u>						
<u>Perpetual Subordinated</u>						
<u>Contingent Convertible</u>						
Securities	US\$	US\$2 billion	Nil	US\$2 billion	Nil	184,077,312**
Stock code (if listed)	5890					
Class of shares issuable (<i>Note 1</i>)	Ordinary					
Subscription price	US\$10.865*					
EGM approval date (if applicable) (dd/mm/yyyy)	(08/05/2014)					
<u>2. US\$2 billion 7.5% Resetting</u>						
<u>Perpetual Subordinated</u>						
<u>Contingent Convertible</u>						
Securities	US\$	US\$2 billion	Nil	US\$2 billion	Nil	258,665,287
Stock code (if listed)	4305					
Class of shares issuable (<i>Note 1</i>)	Ordinary					
Subscription price	US\$7.732*					
EGM approval date (if applicable) (dd/mm/yyyy)	(04/05/2016)					
<u>3. US\$1 billion 7.75% Resetting</u>						
<u>Perpetual Subordinated</u>						
<u>Contingent Convertible</u>						
Securities	US\$	US\$1 billion	Nil	US\$1 billion	Nil	129,332,643
Stock code (if listed)	5348					
Class of shares issuable (<i>Note 1</i>)	Ordinary					
Subscription price	US\$7.732*					
EGM approval date (if applicable) (dd/mm/yyyy)	(04/05/2016)					
<u>4. N/A</u>						
Stock code (if listed)						
Class of shares issuable (<i>Note 1</i>)						
Subscription price						
EGM approval date (if applicable) (dd/mm/yyyy)	(/ /)					
				Total C. (Ordinary shares)	Nil	
				(Preference shares)	N/A	
				(Other class)	N/A	

* Conversion price of the security

** Adjusted post rights issue

Any other Agreements or Arrangements to Issue Shares of the Issuer which are to be Listed, including Options (other than under Share Option Schemes)

Full particulars including EGM approval date (dd/mm/yyyy), if applicable, and class of shares issuable:	No. of new shares of issuer issued during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
1. N/A (/ /) shares (Note 1)		
2. N/A (/ /) shares (Note 1)		
3. N/A (/ /) shares (Note 1)		
Total D. (Ordinary shares)	N/A	
(Preference shares)	N/A	
(Other class)	N/A	

Other Movements in Issued Share Capital

Type of Issue				No. of new shares of issuer issued during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
1.	Rights issue	At price : State currency	<u>N/A</u>	Class of shares issuable (Note 1) _____ Issue and allotment date : (dd/mm/yyyy) (/ /) EGM approval date: (dd/mm/yyyy) (/ /)	_____
2.	Open offer	At price : State currency	<u>N/A</u>	Class of shares issuable (Note 1) _____ Issue and allotment date : (dd/mm/yyyy) (/ /) EGM approval date: (dd/mm/yyyy) (/ /)	_____
3.	Placing	At price : State currency	<u>N/A</u>	Class of shares issuable (Note 1) _____ Issue and allotment date : (dd/mm/yyyy) (/ /) EGM approval date: (dd/mm/yyyy) (/ /)	_____
4.	Bonus issue		<u>N/A</u>	Class of shares issuable (Note 1) _____ Issue and allotment date : (dd/mm/yyyy) (/ /) EGM approval date: (dd/mm/yyyy) (/ /)	_____

For Main Board and GEM listed issuers

Type of Issue				No. of new shares of issuer issued during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the month	
5.	Scrip dividend	At price : State currency	<u>N/A</u>	Class of shares issuable _____ (<i>Note 1</i>) Issue and allotment date : (dd/mm/yyyy) _____ AGM approval date: (dd/mm/yyyy) (/ /) _____	_____	_____
6.	Repurchase of shares		<u>N/A</u>	Class of shares repurchased _____ (<i>Note 1</i>) Cancellation date : (dd/mm/yyyy) (/ /) _____ EGM approval date: (dd/mm/yyyy) (/ /) _____	_____	_____
7.	Redemption of shares		<u>N/A</u>	Class of shares redeemed _____ (<i>Note 1</i>) Redemption date : (dd/mm/yyyy) (/ /) _____ EGM approval date: (dd/mm/yyyy) (/ /) _____	_____	_____
8.	Consideration issue	At price : State currency	<u>N/A</u>	Class of shares issuable _____ (<i>Note 1</i>) Issue and allotment date : (dd/mm/yyyy) (/ /) _____ EGM approval date: (dd/mm/yyyy) (/ /) _____	_____	_____

For Main Board and GEM listed issuers

Type of Issue		No. of new shares of issuer issued during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
9. Capital reorganisation	At price : State currency <u>N/A</u>	Class of shares issuable _____ (Note 1) Issue and allotment date : (dd/mm/yyyy) (/ /) EGM approval date: (dd/mm/yyyy) (/ /)	
10. Other (Please specify)	At price : State currency <u>N/A</u>	Class of shares issuable _____ (Note 1) Issue and allotment date : (dd/mm/yyyy) (/ /) EGM approval date: (dd/mm/yyyy) (/ /)	
		Total E. (Ordinary shares) <u>N/A</u> (Preference shares) <u>N/A</u> (Other class) <u>N/A</u>	

Total increase / (decrease) in ordinary shares during the month (i.e. Total of A to E):	(1) <u>536,780</u>
	(2) <u>N/A</u>
Total increase / (decrease) in preference shares during the month (i.e. Total of A to E):	<u>N/A</u>
Total increase / (decrease) in other classes of shares during the month (i.e. Total of A to E):	<u>N/A</u>
<i>(These figures should be the same as the relevant figures under II above (“Movements in Issued Share Capital”).)</i>	

Remarks (if any):

Submitted by: Chan Fung Shan

Title: Assistant Company Secretary
(Director, Secretary or other duly authorised officer)

Notes :

- 1. State the class of shares (e.g. ordinary, preference or other).*
- 2. If there is insufficient space, please append the prescribed continuation sheet.*