HKEX 香港交易所

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: 31 October 2026 Status: New Submission

To : Hong Kong Exchanges and Clearing Limited

Name of Issuer: 東方證券股份有限公司

Date Submitted: 03 November 2026

I. Movements in Authorised / Registered Share Capital

1. Class of shares	Ordinary shares	Type of shares	A	Listed on the Exchange (Note 1)	No	
Stock code (if listed)	600958	Description	Shanghai Stock Exchange			

	Number of authorised/registered shares	Par value		Authorised/registered share capital	
Balance at close of preceding month	7,469,482,864	RMB	1	RMB	7,469,482,864
Increase / decrease (-)				RMB	
Balance at close of the month	7,469,482,864	RMB	1	RMB	7,469,482,864

2. Class of shares	Ordinary shares	Type of shares	H	Listed on the Exchange (Note 1)	Yes	
Stock code (if listed)	03958	Description	H Shares			

	Number of authorised/registered shares	Par value		Authorised/registered share capital	
Balance at close of preceding month	1,027,162,428	RMB	1	RMB	1,027,162,428
Increase / decrease (-)				RMB	
Balance at close of the month	1,027,162,428	RMB	1	RMB	1,027,162,428

Total authorised/registered share capital at the end of the month: RMB 8,496,645,292

II. Movements in Issued Shares and/or Treasury Shares and Public Float Sufficiency Confirmation

1. Class of shares	Ordinary shares	Type of shares	A	Listed on the Exchange (Note 1)	No	
Stock code (if listed)	600958	Description	Shanghai Stock Exchange			

	Number of issued shares (excluding treasury shares)	Number of treasury shares	Total number of issued shares
Balance at close of preceding month	7,407,936,383	61,546,481	7,469,482,864
Increase / decrease (-)			
Balance at close of the month	7,407,936,383	61,546,481	7,469,482,864

2. Class of shares	Ordinary shares	Type of shares	H	Listed on the Exchange (Note 1)	Yes	
Stock code (if listed)	03958	Description	H Shares			

	Number of issued shares (excluding treasury shares)	Number of treasury shares	Total number of issued shares
Balance at close of preceding month	1,027,162,428	0	1,027,162,428
Increase / decrease (-)			
Balance at close of the month	1,027,162,428	0	1,027,162,428

Public float sufficiency confirmation (Note 4)

Pursuant to Main Board Rule 13.32D(1) or 19A.28D(1) / GEM Rule 17.37D(1) or 25.21D(1), we hereby confirm that, in relation to the class of shares as set out above, as at the close of the month:	
☑ the applicable public float requirement (see below) has been complied with ☐ the applicable public float requirement (see below) has not been complied with	
The applicable minimum public float requirement for the class of shares as set out above pursuant to Main Board Rule 13.32B or 19A.28B / GEM Rule 17.37B or 25.21B (as the case may be) is:	
Applicable public float threshold	Percentage threshold applicable to a PRC issuer with other listed shares - 5% of the total number of issued shares in the class to which the listed H shares belong (excluding treasury shares)
Additional information	

III. Details of Movements in Issued Shares and/or Treasury Shares

(A). Share Options (under Share Option Schemes of the Issuer) Not applicable

(B). Warrants to Issue Shares of the Issuer	Not applicable

(C). Convertibles (i.e. Convertible into Shares of the Issuer) Not applicable

(D). Any other Agreements or Arrangements to Issue Shares of the Issuer, including Options (other than Share Option Schemes) Not applicable

(E). Other Movements in Issued Shares and/or Treasury Shares

1. Class of shares	Ordinary shares	Type of shares	A	Listed on the Exchange (Note 1)	No	
Stock code (if listed)	600958	Description	Shanghai Stock Exchange			

Events	At price (if applicable)		Date of event (Note 2)	General Meeting approval date (if applicable)	Increase/ decrease (-) in issued shares (excluding treasury shares) during the month pursuant thereto (E1)	Increase/ decrease (-) in treasury shares during the month pursuant thereto (E2)	Number of shares redeemed or repurchased for cancellation but not yet cancelled as at close of the month (Note 3)
	Currency	Amount					
1). Repurchase of shares (shares held as treasury shares)					0	0	

Increase/ decrease (-) in issued shares (excluding treasury shares): 0 Ordinary shares A (EE1)

Increase/ decrease (-) in treasury shares: 0 Ordinary shares A (EE2)

Remarks:

東方證券股份有限公司 (the "Company"), in accordance with the “Proposal on the Plan of Repurchase of A Shares of the Company through Centralized Price Bidding” considered and approved by the 31st meeting of the fifth session of the board of directors of the Company, has repurchased a total of 34,843,324 A shares of the Company from November 2023 to January 2024. In accordance with the “Proposal on the Plan of Repurchase of A Shares of the Company through Centralized Price Bidding” considered and approved by the 6th meeting of the sixth session of the board of directors of the Company, the Company has repurchased a total of 26,703,157 A shares of the Company from May 2025 to June 2025. If the Company fails to implement the sale within three years after the completion of the share repurchase, it will perform relevant procedures on the portion of the shares that have not been sold for cancellation, and the Company’s total share capital and circulating non-restricted shares will be reduced accordingly.

Total increase/ decrease (-) in issued shares (excluding treasury shares) during the month (i.e. Total of AA1 to EE1): 0 Ordinary shares A

Total increase/ decrease (-) in treasury shares during the month (i.e. Total of AA2 to EE2): 0 Ordinary shares A

IV. Information about Hong Kong Depositary Receipt (HDR)

Not applicable

V. Confirmations Not applicable

Submitted by: ZHOU Lei

Title: Chairman

(Director, Secretary or other Duly Authorised Officer)

Notes

1. The Exchange refers to The Stock Exchange of Hong Kong Limited.

2. In the case of repurchase of shares (shares repurchased and cancelled) and redemption of shares (shares redeemed and cancelled), "date of event" should be construed as "cancellation date".

   In the case of repurchase of shares (shares held as treasury shares), "date of event" should be construed as "date on which shares were repurchased and held by the issuer in treasury".

3. The information is required in the case of repurchase of shares (shares repurchased for cancellation but not yet cancelled) and redemption of shares (shares redeemed but not yet cancelled). Please state the number of shares repurchased or redeemed during the month or in preceding month(s) but pending cancellation as at close of the month as a negative number.

4. "Initial Prescribed Threshold", "Alternative Threshold" and "market value" have the meanings ascribed thereto under Main Board Rule 13.32A or 19A.28A / GEM Rule 17.37A or 25.21A. See also Main Board Rule 13.32D(4) or 19A.28D(4) / GEM Rule 17.37D(4) or 25.21D(4) on the basis of the public float disclosure.

5. Items (i) to (viii) are suggested forms of confirmation. The listed issuer may amend the item(s) that is/are not applicable 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, or the treasury shares sold or transferred, no further confirmation is required to be made in this return.

6. "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.