

601088



**中国神华能源股份有限公司**  
CHINA SHENHUA ENERGY COMPANY LIMITED

**2016**

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.....	8
.....	16

1.1

1.2

1.3

1.4

2.3

1.2 5Tj /TT3 1 Tf 1.48

2016

	1-9	1-9		%
	124,803	134,814	131,446	(7.4)
	30,676	30,916	29,979	(0.8)
	17,307	17,193	16,555	0.7
	17,488	17,037	16,395	2.6
%	5.72	5.67	5.62	0.05
/	0.870	0.864	0.832	0.7
/	0.870	0.864	0.832	0.7
/	0.879	0.857	0.824	2.6
%	5.78	5.62	5.57	0.16

	7-9	7-9		%
	46,080	44,813	43,663	2.8
	12,256	9,517	9,114	28.8
	7,479	5,115	4,828	46.2
	7,566	5,042	4,748	50.1
%	2.48	1.72	1.68	0.76
/	0.376	0.257	0.242	46.2
/	0.376	0.257	0.242	46.2
/	0.380	0.253	0.238	50.1
%	2.51	1.70	1.66	0.81

	7 9	1-9
	(3)	(150)
	1	34
	112	285
	2	13

	7-9	1-9
	7	23
	(164)	(302)
	17	17
	(27)	(57)
	(32)	(44)
	(87)	(181)

## 2.2

		2016		2015		2014	
		7-9	1-9	7-9	1-9	7-9	1-9
1.		<b>73.6</b>	<b>213.3</b>	71.2	210.6	3.4	1.3
2.		<b>101.9</b>	<b>288.2</b>	101.1	278.9	0.8	3.3
		<b>75.5</b>	<b>215.1</b>	77.5	215.8	(2.6)	(0.3)
		<b>26.4</b>	<b>73.1</b>	23.6	63.1	11.9	15.8
1.		<b>63.86</b>	<b>174.87</b>	58.51	168.71	9.1	3.7
2.		<b>59.44</b>	<b>163.34</b>	54.37	157.18	9.3	3.9
1.		<b>84.2</b>	<b>213.8</b>	80.2	243.4	5.0	(12.2)
2.		<b>81.2</b>	<b>206.0</b>	75.9	229.1	7.0	(10.1)
1.		<b>61.4</b>	<b>181.2</b>	50.2	148.7	22.3	21.9
2.		<b>58.0</b>	<b>170.3</b>	55.5	153.4	4.5	11.0
		<b>41.9</b>	<b>118.4</b>	31.6	83.0	32.6	42.7
		<b>9.8</b>	<b>30.2</b>	9.7	29.7	1.0	1.7

3.

20.99ET 1.239 0 Td ( )Tj&gt;BDC /TT0 1 Tf 4.318 255 46.88&gt;BDC

2.3

	2016		2015	
	1-9	1-9	9 30	12 31
	<b>17,307</b>	17,193	<b>305,789</b>	292,790
	<b>1,341</b>	1,914	<b>4,785</b>	5,278
	<b>18,648</b>	19,107	<b>310,574</b>	298,068

2.4

					207,187
A					204,820
H					2,367
		(%)			
	14,530,574,452	73.06	0		

	14,530,574,452		14,530,574,452
HKSCC NOMINEES LIMITED	3,390,219,309		3,390,219,309
	571,607,143		571,607,143
	110,027,300		110,027,300
	67,562,482		67,562,482
	25,159,394		25,159,394
	15,000,000		15,000,000
50	14,808,126		14,808,126
	14,014,887		14,014,887
50	11,023,687		11,023,687
	HKSCC Nominees Limited		
	50		

HKSCC Nominees Limited

H

A

3.1

2016	1-9		124,803	2015	134,814
		7.4%	30,676	2015	30,916
		0.8%	17,307	2015	17,193
		0.7%			

		<b>2016 1-9</b>	<b>2015 1-9</b>	<b>(%)</b>	
1		<b>124,803</b>	134,814	(7.4)	
2		<b>73,457</b>	82,664	(11.1)	
3		<b>3,883</b>	4,630	(16.1)	2016 5
4		<b>3,952</b>	3,285	20.3	
5		<b>25</b>	397	(93.7)	
6		<b>201</b>	439	(54.2)	
7		<b>1,040</b>	909	14.4	



		<b>2016</b> <b>9 30</b>	<b>2015</b> <b>12 31</b>	<b>(%)</b>	
1		<b>82,213</b>	47,850	71.8	
2		<b>0</b>	12	(100.0)	
3		<b>4,272</b>	17,649	(75.8)	
4		<b>18,253</b>	23,370	(21.9)	
5		<b>4,534</b>	3,613	25.5	
6		<b>14,739</b>	12,816	15.0	
7		<b>9,202</b>	12,248	(24.9)	
8		<b>36,179</b>	32,263	12.1	
9		<b>28,885</b>	31,517	(8.4)	
10		<b>4,464</b>	3,624	23.2	
11		<b>563</b>	784	(28.2)	
12		<b>1,526</b>	2,786	(45.2)	
13		<b>27,009</b>	6,580	310.5	
14		<b>0</b>	4,998	(100.0)	
15		<b>60,983</b>	54,179	12.6	
16		<b>14,865</b>	34,606	(57.0)	
17		<b>(14)</b>	(237)	(94.1)	
18		<b>8,404</b>	6,570	27.9	

		<b>2016</b> <b>1-9</b>	<b>2015</b> <b>1-9</b>	<b>(%)</b>	
1		<b>62,174</b>	37,025	67.9	
		<b>(9,279)</b>	4,619	(300.9)	

		<b>2016 1-9</b>	<b>2015 1-9</b>	<b>(%)</b>	
		<b>71,453</b>	32,406	120.5	
2		<b>(16,377)</b>	(15,458)	5.9	
3		<b>(14,853)</b>	(10,642)	39.6	

3.2

1

	<b>2016 7-9</b>			<b>2015 7-9</b>				
		<b>%</b>	<b>/</b>		<b>%</b>	<b>/</b>	<b>%</b>	<b>%</b>
	<b>99.2</b>	<b>97.3</b>	<b>304</b>	99.8	98.7	276	(0.6)	10.1
	<b>97.0</b>	<b>95.1</b>	<b>306</b>	97.2	96.1	277	(0.2)	10.5
1	<b>39.7</b>	<b>38.9</b>	<b>213</b>	42.0	41.5	206	(5.5)	3.4
2	<b>57.3</b>	<b>56.2</b>	<b>370</b>	55.2	54.6	331	3.8	11.8
	<b>2.2</b>	<b>2.2</b>	<b>244</b>	2.5	2.5	234	(12.0)	4.3
	<b>0</b>	<b>0.0</b>		0.1	0.1	497	(100.0)	
	<b>0.7</b>	<b>0.7</b>	<b>375</b>	0.2	0.2	403	250.0	(6.9)
	<b>2.0</b>	<b>2.0</b>	<b>292</b>	1.1	1.1	196	81.8	49.0
EMM	<b>0.5</b>	<b>0.5</b>	<b>148</b>	0.6	0.6	90	(16.7)	64.4
	<b>1.5</b>	<b>1.5</b>	<b>336</b>	0.5	0.5	320	200.0	5.0
<b>/</b>	<b>101.9</b>	<b>100.0</b>	<b>305</b>	101.1	100.0	275	0.8	10.9

	2016 1-9			2015 1-9				
		%	/		%	/	%	%
	282.4	98.0	283	275.2	98.7	302	2.6	(6.3)
	277.9	96.5	284	265.2	95.2	300	4.8	

2016

	<b>2016 1-9</b>	2015 1-9		
	/	/	%	
	<b>17.8</b>	21.8	(18.3)	
	<b>48.4</b>	56.4	(14.2)	

1  
73% 2 9% 3  
18%

3.3

1  
7-9

/				
				/
	<b>63.44</b>	<b>59.08</b>	<b>1,174</b>	<b>301</b>
	61.76	57.44	1,184	297
	0.00	0.00	321	604
	0.23	0.23	1,837	197
	1.45	1.41	836	453
	<b>0.42</b>	<b>0.36</b>	<b>1,395</b>	<b>460</b>
	0.42	0.36	1,395	460
/	<b>63.86</b>	<b>59.44</b>	<b>1,175</b>	<b>302</b>

2016 7-9

2,598

2,070

1-9

/				
				/
	<b>173.62</b>	<b>162.25</b>	<b>3,212</b>	<b>303</b>
	168.60	157.36	3,231	299
	0.02	0.02	1,435	597
	0.51	0.50	4,073	226
	4.49	4.37	2,594	459
	<b>1.25</b>	<b>1.09</b>	<b>4,156</b>	<b>443</b>
	1.25	1.09	4,156	443
/	<b>174.87</b>	<b>163.34</b>	<b>3,172</b>	<b>304</b>

2

	2015 12 31	2016 1-9	2016 9 30
1.	52,257	1,000	53,257
2.	16	0	16
3.	125	0	125
4.	1,730	0	1,730
	54,128	1,000	55,128

2016 8 1 1,000

3

	2016 1-9	2015 1-9	(%)	
	51,108	54,840	(6.8)	
	34,414	34,936	(1.5)	
	16,694	19,904	(16.1)	
%	32.7	36.3	3.6	

2016 7-9 302 / 2015 325 /  
 7.1% 212.2 / 2015 211.4 /  
 0.4%

2016 1-9 304 / 2015 336 /  
 9.5% 208.7 / 2015 218.2 /  
 4.4%

3.4

2016 181.2  
 21.9% 24,477 2015 20,148  
 21.5%  
 151.8 29.2% 118.4 42.7%



			2005 5 24	2005 5 24	2014 6  2019 6 30  14	
			12  A	2015 7 8  2015 7 8 2016 7 7		

3.8

3.9

3.10

4.1

2016 9 30

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	82,213	47,850
	0	12
	4,272	17,649
	18,253	23,370
	4,534	3,613
	3,273	3,478
	14,739	12,816
	9,202	12,248
	136,486	121,036
	1,795	1,795
	5,201	5,049
	310,082	318,953
	36,179	32,263
	1,429	1,347
	35,340	35,757
	2,439	2,482
	3,163	3,203
	33,904	32,080
	429,532	432,929
	566,018	553,965
	5,417	6,435
	2,287	2,473
	28,885	31,517
	4,464	3,624
	4,612	3,397
	6,937	5,536



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	563	784
	1,526	2,786
	28,712	33,357
	27,009	6,580
	0	4,998
	110,412	101,487
	60,983	54,179
	14,865	34,606
	2,360	2,523
	2,386	2,197
	815	816
	81,409	94,321
	191,821	195,808
	19,890	19,890
	74,729	74,729
	(14)	(237)
	8,404	6,570
	11,433	11,433
	191,347	180,405
	305,789	292,790
	68,408	65,367
	374,197	358,157
	566,018	553,965

2016 9 30

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	69,471	30,563
	0	12
	1,066	3,368
	19,271	16,017
	400	468
	4,251	6,256
	7,625	7,680
	4,184	4,436
	47,375	50,507
	153,643	119,307
	1,647	1,647
	120,139	118,112
	38,527	41,247
	3,635	3,381
	107	88
	13,744	14,285
	940	954
	493	456
	26,858	30,842
	206,090	211,012
	359,733	330,319
	6,000	7,300
	70	366
	6,041	8,327
	82	67
	2,311	1,484
	3,886	2,892
	348	480
	4,473	3,482
	20,622	1,938
	41,831	54,587

2016

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	85,664	80,923
	3,717	3,872
	4,929	24,955
	876	1,115
	1,209	1,156
	10,731	31,098
	96,395	112,021
	19,890	19,890
	77,429	77,429
	5,994	4,554
	11,433	11,433
	148,592	104,992
	263,338	218,298
	359,733	330,319

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	7-9	7-9	1-9	1-9
	46,080	44,813	124,803	134,814
	46,080	44,813	124,803	134,814
	34,104	35,852	94,750	104,811
	26,834	28,128	73,457	82,664
	1,418	1,533	3,883	4,630
	135	116	388	377
	4,544	4,713	13,045	13,458
	1,153	1,362	3,952	3,285
	20	0	25	397
	2	2	13	1
	149	183	201	439
	113	122	148	250
	12,127	9,146	30,267	30,443
	335	547	1,040	909
	206	176	631	436
	10	59	169	120
“ ”	12,256	9,517	30,676	30,916
	2,427	2,389	7,170	7,309
“ ”	9,829	7,128	23,506	23,607
	7,479	5,115	17,307	17,193
	2,350	2,013	6,199	6,414
	87	(55)	235	22
	84	(66)	223	13
	0	0	(7)	(5)
1.	0	0	(7)	(5)
	84	(66)	230	18

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	<b>7-9</b>	<b>7-9</b>	<b>1-9</b>	<b>1-9</b>
1.	0	0	15	0
2.	84	(66)	215	18
	3	11	12	9
	9,916	7,073	23,741	23,629
	7,563	5,049	17,530	17,206
	2,353	2,024	6,211	6,423
( / )	0.376	0.257	0.870	0.864
( / )	0.376	0.257	0.870	0.864

	<b>7-9</b>	<b>7-9</b>	<b>1-9</b>	<b>1-9</b>
	9,771	10,966	29,004	34,016
	6,066	7,134	18,881	21,417
	780	771	2,110	2,593
	0	0	0	3
	1,273	1,286	3,663	4,006
	222	557	893	1,585
	0	0	0	0
	2	2	13	0
	10,487	7,368	47,669	11,635
	108	26	229	264
	11,919	8,588	51,139	16,047
	24	28	64	43
	6	3	6	3
	12	37	120	114
	0	0	86	23
	11,931	8,579	51,083	15,976
	353	394	1,118	1,193
	11,578	8,185	49,965	14,783
	0	0	0	0
	11,578	8,185	49,965	14,783

	<b>1-9</b>	<b>1-9</b>
	161,422	144,370
	0	2,891
	0	946
	995	1,010
	36	45
	3,841	4,418
	166,294	153,680
	(53,670)	(70,720)
	(9,415)	0
	(668)	0
	(191)	(228)
	(12,863)	(13,221)
	(24,463)	(27,939)
	(2,850)	(4,547)
	(104,120)	(116,655)
	62,174	37,025
	40	400
	428	913
	338	66
	1,109	845
	1,915	2,224
	(13,790)	(16,156)
	(38)	(48)
	(4,464)	(1,478)
	(18,292)	(17,682)
	(16,377)	(15,458)
	743	1,425
	743	1,425

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	1-9	1-9
	18,319	18,795
	0	24,034
	0	700
	19,062	44,954
	(17,717)	(30,293)
	(15,889)	(25,299)
	(5,324)	(6,245)
	(309)	(4)
	(33,915)	(55,596)
	(14,853)	(10,642)
	65	168
	31,009	11,093
	42,323	35,956
	73,332	47,049



	<b>1-9</b>	<b>1-9</b>
	29,660	30,140
	17	0
	2,579	2,842
	32,256	32,982
	(11,334)	(13,271)
	(4,011)	(4,614)
	(5,896)	(7,736)
	(1,062)	(4,508)
	(22,303)	(30,129)
	9,953	2,853
	40,731	39,050
	49,719	9,540
	86	826
	7,700	3,100
	98,236	52,516
	(1,750)	(1,568)
	(35,926)	(34,241)
	(19,636)	(5,645)
	(57,312)	(41,454)
	40,924	11,062
	25,796	14,834
	0	14,985
	25,796	29,819
	(41,887)	(24,139)
	(7,813)	(16,779)
	(49,700)	(40,918)
	(23,904)	(11,099)
	0	0

	<b>1-9</b>	<b>1-9</b>
	26,973	2,816
	20,414	25,448
	47,387	28,264

4.2