



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

601088

2012 10

1
2
3
4
5

3
4
5
8
14

1.1

1.2

9

9

1.3

3.3

1.4 2012

4

50%

100%

60%

2012 1-9

2011 1-9

1.5

1.6

| | | | | |
|---------|-------|--------|---------|--------|
| 2012 | 1 | 9 | 230.9 | 2011 |
| 209.9 | | | 10.0% | 329.9 |
| 2011 | | 286.5 | | 15.1% |
| | 181.4 | 2011 | 158.5 | |
| 14.4% | | | 129.5 | 2011 |
| 121.0 | | | 7.0% | 144.80 |
| | 2011 | 131.73 | | 9.9% |
| | | | 178,367 | 2011 |
| 154,411 | | | 15.5% | |
| 36,555 | | 2011 | 34,323 | 6.5% |
| | 1.838 | 2011 | 1.726 | 6.5% |

3.1

| | | | | | | |
|---|------------------|----------------|--------------|---------|-------|-----------|
| | 2012 9 30 | | 2011 12 31 | | | |
| | | | | | % | |
| | | 438,259 | | 402,978 | | 8.8 |
| | | 243,472 | | 225,529 | | 8.0 |
| / | | 12.24 | | 11.34 | | 8.0 |
| | 2012 | 1-9 | 2011 | 1-9 | % | |
| | | 57,844 | | 73,135 | | (20.9) |
| / | | 2.91 | | 3.68 | | (20.9) |
| | 2012 | | 2011 | | % | |
| | 7-9 | 1-9 | 7-9 | 1-9 | 7-9 | 1-9 |
| | 11,374 | 36,555 | 12,361 | 34,323 | (8.0) | 6.5 |
| / | 0.572 | 1.838 | 0.621 | 1.726 | (8.0) | 6.5 |
| / | 0.577 | 1.837 | 0.617 | 1.722 | (6.5) | 6.7 |
| / | 0.572 | 1.838 | 0.621 | 1.726 | (8.0) | 6.5 |
| | | 4.79 | 15.59 | 5.77 | 15.99 | 0.98 0.40 |
| | | 4.84 | 15.58 | 5.73 | 15.95 | 0.89 0.37 |

| | |
|---|----------|
| | 2012 1-9 |
| - | 111 |
| - | 235 |
| - | 46 |

| | |
|---|-------|
| - | - |
| | 37 |
| | (471) |
| | 85 |
| | 3 |
| | 46 |
| | 27 |
| | 19 |

3.2

| | 2012 | | 2011 | | % | |
|--|--------------|---------------|-------|--------|--------|--------|
| | 7-9 | 1-9 | 7-9 | 1-9 | 7-9 | 1-9 |
| | 75.1 | 230.9 | 69.5 | 209.9 | 8.1 | 10.0 |
| | 107.8 | 329.9 | 95.3 | 286.5 | 13.1 | 15.1 |
| | 0.6 | 2.8 | 1.2 | 4.4 | (50.0) | (36.4) |
| | 3.4 | 5.7 | - | - | | |
| | 42.5 | 129.5 | 40.3 | 121.0 | 5.5 | 7.0 |
| | 61.0 | 181.4 | 55.8 | 158.5 | 9.3 | 14.4 |
| | 23.7 | 67.2 | | | | |
| | 8.5 | 20.2 | | | | |
| | 26.2 | 73.6 | 22.0 | 59.5 | 19.1 | 23.7 |
| | 22.6 | 62.3 | 19.9 | 52.6 | 13.6 | 18.4 |
| | 52.90 | 155.63 | 52.21 | 141.22 | 1.3 | 10.2 |
| | 49.14 | 144.80 | 48.74 | 131.73 | 0.8 | 9.9 |

2012 1-9

3.3

| | 2012 | | 2011 | |
|--|--------|--------|---------|---------|
| | 1-9 | 1-9 | 9 30 | 12 31 |
| | 36,555 | 34,323 | 243,472 | 225,529 |
| | | | | |
| | 2,212 | 1,399 | 3,012 | 2,670 |
| | 38,767 | 35,722 | 246,484 | 228,199 |

3.4

1 311,724 A
309,133 H 2,591
2

| | | |
|------------------------|----------------|--|
| | | |
| | 14,521,846,560 | |
| HKSCC NOMINEES LIMITED | 3,390,718,620 | |
| 005L FH002 | 94,469,288 | |
| 50 | 29,114,442 | |
| 50 | 26,408,283 | |
| | 24,137,656 | |
| | 22,562,054 | |
| 300 | 15,972,136 | |
| 005L CT001 | 15,724,290 | |
| | 15,053,098 | |

HKSCC Nominees Limited

H

2012 1 9
 2012 1 9
 A 10,808,605 A
 14,521,846,560 73.01% 2012 1
 10 2012-001

4.1

2012 1-9
 178,367 2011 154,411
 15.5%
 110,922
 2011 89,338 24.2%
 10,499 2011 8,663
 21.2% 42,415 2011
 39,666 6.9%
 36,555 2011 34,323
 6.5%

| | 2012 1-9 | 2011 1-9 | % | |
|--|---------------------|-------------|------|--|
| | 178,367 | 154,411 | 15.5 | |
| | 110,922 | 89,338 | 24.2 | |
| | 10,499 | 8,663 | 21.2 | |

| | | | | |
|--|--------------|--------|--------|-------------------------------|
| | 427 | 216 | 97.7 | |
| | 471 | 807 | (41.6) | |
| | 8,738 | 10,623 | (17.7) | 21.1% 17.1% 4.0 2011 |

| | 2012 9 30 | 2011 12 31 | % | |
|--|----------------------|---------------|--------|--|
| | 15,944 | 12,645 | 26.1 | |
| | 3,839 | 2,309 | 66.3 | |
| | 3,773 | 2,975 | 26.8 | |
| | 17,412 | 12,939 | 34.6 | |
| | 9,550 | 6,477 | 47.4 | |
| | 55,679 | 33,844 | 64.5 | |
| | 12,993 | 5,011 | 159.3 | |
| | 299 | 64 | 367.2 | |
| | 9,591 | 12,566 | (23.7) | |
| | 29,745 | 23,427 | 27.0 | |

| | 2012 1-9 | 2011 1-9 | % | |
|--|---------------------|-------------|--------|--|
| | 204,010 | 176,801 | 15.4 | |
| | 10,584 | 14,890 | (28.9) | |
| | 106,872 | 77,135 | 38.6 | |
| | 6,482 | 2,249 | 188.2 | |

4.2

1

| | 2012 1-9 | | | 2011 1-9 | | | | |
|---|-----------------|--------------|--------------|----------|----------|-------|----------|----------|
| | | | | | | | | |
| | | % | | | % | | % | % |
| | 326.6 | 99.0 | 421.9 | 282.1 | 98.5 | 431.5 | 15.8 | (2.2) |
| | 132.5 | 40.2 | 348.6 | 128.2 | 44.8 | 336.8 | 3.4 | 3.5 |
| | 10.0 | 3.0 | 184.1 | 8.0 | 2.8 | 146.4 | 25.0 | 25.8 |
| | 63.9 | 19.4 | 253.1 | 59.4 | 20.8 | 245.4 | 7.6 | 3.1 |
| | 58.6 | 17.8 | 480.6 | 60.8 | 21.2 | 451.0 | (3.6) | 6.6 |
| | 194.1 | 58.8 | 471.9 | 153.9 | 53.7 | 510.4 | 26.1 | (7.5) |
| | 26.7 | 8.1 | 137.6 | 29.8 | 10.4 | 170.2 | (10.4) | (19.2) |
| | 47.5 | 14.4 | 416.3 | 30.9 | 10.8 | 510.6 | 53.7 | (18.5) |
| | 119.9 | 36.3 | 568.3 | 93.2 | 32.5 | 619.0 | 28.6 | (8.2) |
| | 3.3 | 1.0 | 817.5 | 4.4 | 1.5 | 702.5 | (25.0) | 16.4 |
| / | 329.9 | 100.0 | 425.7 | 286.5 | 100.0 | 435.6 | 15.1 | (2.3) |

| | 2012 1-9 | 2011 1-9 | |
|--|-----------------|----------|------|
| | / | / | % |
| | 121.5 | 112.8 | 7.7 |
| | 24.5 | 20.7 | 18.4 |
| | 14.6 | 14.3 | 2.1 |
| | 20.9 | 20.0 | 4.5 |
| | 61.5 | 57.8 | 6.4 |

2012 1-9 121.5 / 2011 112.8 / 7.7% 1

18.4% 2

4.5%

6.4%

1

60% 2 8% 3

32%

1-9

4.3

2012

7.7%

7.4% 0.2



7
8
28.8 3.6%
30.2 2.8% 7.5
16.83 0.1%
2.03 36.3% 6

4.4

4.5

| | |
|-----------------------|--|
| | |
| | |
| 2012 12 31 A 2% | |



2011

2012 1

10

2012-001

4.6

4.7

4.8

2012 10 26

2012 1-9

| | 2012 | | 2011 () | |
|--|---------------|----------------|----------|---------|
| | 7-9 | 1-9 | 7-9 | 1-9 |
| | 56,899 | 178,367 | 53,260 | 154,411 |
| | 34,938 | 110,922 | 31,995 | 89,338 |
| | 1,115 | 3,544 | 1,113 | 3,300 |
| | 258 | 715 | 354 | 878 |
| | 3,840 | 10,499 | 3,082 | 8,663 |
| | 565 | 1,889 | 797 | 1,703 |
| | - | - | (4) | 16 |
| | 36 | 37 | 58 | 21 |
| | 151 | 362 | 100 | 346 |
| | 130 | 301 | 77 | 244 |
| | 16,370 | 51,197 | 16,081 | 50,880 |
| | 90 | 427 | 58 | 216 |
| | 249 | 471 | 82 | 807 |
| | 48 | 73 | 13 | 37 |
| | 16,211 | 51,153 | 16,057 | 50,289 |
| | 2,998 | 8,738 | 2,005 | 10,623 |
| | 13,213 | 42,415 | 14,052 | 39,666 |
| | - | 85 | 78 | 554 |
| | 11,374 | 36,555 | 12,361 | 34,323 |
| | 1,839 | 5,860 | 1,691 | 5,343 |
| | | | | |
| | 0.572 | 1.838 | 0.621 | 1.726 |
| | 0.572 | 1.838 | 0.621 | 1.726 |
| | 99 | 81 | (270) | (138) |
| | 13,312 | 42,496 | 13,782 | 39,528 |
| | 11,464 | 36,633 | 12,093 | 34,192 |
| | 1,848 | 5,863 | 1,689 | 5,336 |

2012 1-9

| | 2012 | | 2011 | |
|--|---------------|---------------|--------|---------|
| | 7-9 | 1-9 | 7-9 | 1-9 |
| | 12,215 | 36,944 | 27,451 | 114,805 |
| | 8,401 | 25,322 | 22,849 | 96,635 |
| | 374 | 1,120 | 488 | 1,726 |
| | 1 | 1 | 73 | 303 |
| | 1,315 | 3,898 | 1,277 | 3,611 |
| | (8) | (107) | (45) | (294) |
| | 33 | 32 | 66 | 39 |
| | 2,757 | 7,200 | 3,127 | 6,510 |
| | 99 | 141 | 79 | 123 |
| | 4,922 | 13,942 | 6,002 | 19,373 |
| | 20 | 100 | 12 | 32 |
| | 173 | 277 | 15 | 646 |
| | 1 | 1 | 5 | 22 |
| | 4,769 | 13,765 | 5,999 | 18,759 |
| | 453 | 1,285 | 251 | 2,981 |
| | 4,316 | 12,480 | 5,748 | 15,778 |
| | 4,316 | 12,480 | 5,748 | 15,778 |

2012 9 30

| | 2012 9 30 | 2011 12 31 |
|--|-----------|------------|
| | | |
| | 68,567 | 69,275 |
| | 812 | 933 |
| | 735 | 973 |
| | 15,944 | 12,645 |
| | 3,839 | 2,309 |
| | 3,773 | 2,975 |
| | 17,412 | 12,939 |
| | 9,550 | 6,477 |
| | 120,632 | 108,526 |
| | | |
| | 5,781 | 4,760 |
| | 201,164 | 201,785 |
| | 55,679 | 33,844 |
| | 1,009 | 540 |
| | 31,887 | 31,470 |
| | 3,103 | 2,936 |
| | 2,108 | 2,319 |
| | 16,896 | 16,798 |
| | 317,627 | 294,452 |
| | 438,259 | 402,978 |

2012 9 30

| | 2012 9 30 | 2011 12 31 |
|--|-----------|------------|
| | | |
| | 12,993 | 5,011 |
| | 299 | 64 |
| | 26,883 | 23,699 |
| | 6,872 | 4,864 |
| | 5,293 | 3,707 |
| | 9,591 | 12,566 |
| | 414 | 257 |
| | 1,329 | 2,405 |
| | 29,745 | 23,427 |
| | 5,501 | 11,749 |
| | 98,920 | 87,749 |
| | | |
| | 42,989 | 45,443 |
| | 2,198 | 2,346 |
| | 1,804 | 1,724 |
| | 732 | 437 |
| | 47,723 | 49,950 |
| | 146,643 | 137,699 |
| | | |
| | 19,890 | 19,890 |
| | 81,953 | 84,513 |
| | 6,490 | 4,580 |
| | 11,433 | 11,433 |
| | 122,968 | 104,453 |
| | 738 | 660 |
| | 243,472 | 225,529 |
| | 48,144 | 39,750 |
| | 291,616 | 265,279 |
| | 438,259 | 402,978 |

2012 9 30

| | 2012 9 30 | 2011 12 31 |
|--|-----------|------------|
| | | |
| | 46,165 | 49,646 |
| | 414 | 467 |
| | 90 | 299 |
| | 29,696 | 33,379 |
| | 1,387 | 1,005 |
| | 5,899 | 6,729 |
| | 14,987 | 12,688 |
| | 4,944 | 3,115 |
| | 35,366 | 32,553 |
| | 138,948 | 139,881 |
| | | |
| | 80,259 | 65,889 |
| | 45,513 | 44,593 |
| | 7,721 | 5,926 |
| | 80 | 134 |
| | 13,947 | 14,511 |
| | 1,999 | 1,923 |
| | 674 | 864 |
| | 11,584 | 13,898 |
| | 161,777 | 147,738 |
| | 300,725 | 287,619 |

2012 9 30

| | 2012 9 30 | 2011 12 31 |
|--|-----------|------------|
| | | |
| | 9,590 | - |
| | 8,495 | 9,502 |
| | 58 | 74 |
| | 2,617 | 2,208 |
| | 2,483 | 5,162 |
| | 45 | 123 |
| | 4,928 | 6,183 |
| | 1,153 | 2,328 |
| | 96,871 | 82,031 |
| | 126,240 | 107,611 |
| | | |
| | 6,382 | 7,587 |
| | 1,540 | 1,678 |
| | 969 | 940 |
| | 8,891 | 10,205 |
| | 135,131 | 117,816 |
| | | |
| | 19,890 | 19,890 |
| | 82,918 | 83,160 |
| | 4,919 | 3,466 |
| | 11,433 | 11,433 |
| | 46,434 | 51,854 |
| | 165,594 | 169,803 |
| | 300,725 | 287,619 |

2012 1-9

| | 2012 1-9 | 2011 1-9 |
|--|-----------|-----------|
| | | |
| | 204,010 | 176,801 |
| | 78 | 1 |
| | 10,584 | 14,890 |
| | 214,672 | 191,692 |
| | (106,872) | (77,135) |
| | (10,048) | (8,571) |
| | (33,426) | (30,602) |
| | (6,482) | (2,249) |
| | (156,828) | (118,557) |
| | 57,844 | 73,135 |
| | | |
| | 73 | 3,000 |
| | 114 | 130 |
| | 108 | 24 |
| | 5,406 | 2,777 |
| | 105 | 8 |
| | 445 | - |
| | 674 | 688 |
| | 6,925 | 6,627 |
| | (30,060) | (37,035) |
| | (413) | (60) |
| | (859) | - |
| | (4,358) | (8,702) |
| | (6,071) | (5,745) |
| | (2,654) | (4,044) |
| | (44,415) | (55,586) |
| | (37,490) | (48,959) |
| | | |
| | 3,162 | 1,550 |
| | 150 | 1,265 |
| | 17,686 | 7,913 |
| | - | 52 |
| | 20,998 | 10,780 |

| | | |
|--|-----------------|----------|
| | (20,694) | (17,042) |
| | (24,578) | (19,811) |
| | (4,119) | (2,415) |
| | (45,272) | (36,853) |
| | (24,274) | (26,073) |
| | (2) | (6) |
| | (3,922) | (1,903) |
| | 61,652 | 77,302 |
| | 57,730 | 75,399 |

2012 1-9

| | 2012 | 1-9 | 2011 | 1-9 |
|------|------|------------------|------|-----------|
| | | | | |
| | | 41,625 | | 115,885 |
| | | 3,530 | | 3,470 |
| | | 45,155 | | 119,355 |
| | | (15,741) | | (91,538) |
| | | (3,921) | | (3,821) |
| | | (9,346) | | (10,008) |
| | | (1,171) | | (855) |
| | | (30,179) | | (106,222) |
| | | 14,976 | | 13,133 |
| | | | | |
| | | 21,969 | | 12,389 |
| | | 4,388 | | 4,401 |
| | | 44 | | 20 |
| | | - | | 2,250 |
| | | 88 | | - |
| | | 1,991 | | 605 |
| | | 28,480 | | 19,665 |
| | | (11,033) | | (10,255) |
| | | (36,474) | | (25,312) |
| 2011 | 2012 | (4,358) | | (8,270) |
| | | (24) | | - |
| | | - | | (200) |
| | | (1) | | (323) |
| | | (51,890) | | (44,360) |
| | | (23,410) | | (24,695) |
| | | | | |
| | | 175,363 | | 81,907 |
| | | 175,363 | | 81,907 |
| | | (152,007) | | (64,276) |
| | | (18,166) | | (15,229) |
| | | (170,173) | | (79,505) |
| | | 5,190 | | 2,402 |
| | | (3,244) | | (9,160) |
| | | 49,172 | | 68,368 |
| | | 45,928 | | 59,208 |