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A3 - Organisational Structure		
Case no.:		**AR0089 - Absorption review**

If your company is the subsidiary of another company, complete the table below		
	Parent Company	*Ultimate Controlling Company*
Name	SANY Heavy Machinery Limited	Sany Heavy Industry Co., Ltd.
Registration number / Country of Registration	91320583753205545N/China	91110000616800612P/China

- Please complete the table below for any associated companies.
- The first row has been entered as an example - please delete before submission

General Information							*Activities*	*Shareholding*	
Company name	**Company name (in Chinese)**	**Address**	**Company representative and role**	**Representative email**	**Representative telephone (Include country code in parenthesis)**	**Relationship**	**List activities**	**Percentage shareholding in the associated company**	**Percentage shareholding held by associated company in your company**
Shanghai SANY Heavy Machinery Co., Ltd.	上海三一重机股份有限公司	Shanghai, China	[Redacted – personal information which identifies individuals]	[Redacted – personal information which identifies individuals]	[Redacted – personal information which identifies individuals]	This company	Production and sales of excavators	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]
SANY Heavy Machinery Limited	三一重机有限公司	Kunshan,China	[Redacted – personal information which identifies individuals]	[Redacted – personal information which identifies individuals]	[Redacted – personal information which identifies individuals]	Parent company	Production and sales of excavators	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]
SANY SOUTH EAST ASIA PTE LTD		5 TUAS AVENUE 5, #06, HUP HIN BUILDING, SINGAPORE 639344	[Redacted – personal information which identifies individuals]	[Redacted – personal information which identifies individuals]	[Redacted – personal information which identifies individuals]	same ultimate shareholder	General wholesale trade	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]
SANY HEAVY MACHINERY (UK) LTD.		UK	[Redacted – personal information which identifies individuals]	[Redacted – personal information which identifies individuals]	[Redacted – personal information which identifies individuals]	same ultimate shareholder	Sales of excavators	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]
[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted – personal information which identifies individuals]	[Redacted – personal information which identifies individuals]	[Redacted – personal information which identifies individuals]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]

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A4 - Owners & Shareholders

Case no.:	AR0089 - Absorption review
Company name:	*Shanghai SANY Heavy Machinery Co., Ltd.*

• Please complete the table below for any shareholder with >5% holding in your company.

List of current shareholders & owners (holding 5% or more of shares)

Name	Percentage of shares held	Is this person a state official? If so, specify title and public body.	Activity of shareholder	Do they have an interest in other companies involved in the production, sales, marketing or administration of the good concerned	If yes, please name the companies and state their activity
[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]

• Please complete the table below for all directors who held office during the POI.

List of current members of Board of Directors and/or Board of Shareholders

Name	What role do they have?	What voting rights do they have?	Is this person a state official? If so, specify title and public body.	Do they have an interest in other companies involved in the production, sales, marketing or administration of the good concerned	If yes, please name the companies and state their activity
[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]

A7.1 - Your Company's Products

Case no.	AR0089 - Absorption review

- Please complete the table below for all PCN codes identified for both your domestic and export markets
- If there are a number of models within each PCN then please list each PCN/model separately (or by similar group of models) so as to provide meaningful characteristics.
- If an associated company produces or sells the like goods/goods concerned, indicate their name in the associated party column, otherwise please write not applicable (N/A).

List of PCNs that your company produces		
PCN	**Company code CCN equivalent**	**Associated party, if applicable**
L	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]
XL	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]

Product similarities		
Characteristics of your company's product	**Identical to other products available in the UK? (Yes/No)**	**If No, explain the differences**
[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]
[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]	[Redacted - commercially sensitive information]

B1.1 - Upward sales reconciliation	
Case no.	AR0089 - Absorption review

- *Please fill in the white cells only - except where explanations to variances are required*
- *Please ensure the table is completed using your accounting currency*
- *Please reference source documents used where applicable*

Description	Value CNY	Volume (UNITS)	Volume (kgs)	Source documents
Revenue in Income Statement	[Redacted – commercially sensitive information]			[Redacted – commercially sensitive information]
Variance (other business income)	[Redacted – commercially sensitive information]			[Redacted – commercially sensitive information]
Total sales revenue of all goods during the accounting period	[Redacted – commercially sensitive information]			[Redacted – commercially sensitive information]
Difference between sales during the POI and accounting periods per your management accounts or trial balance	[Redacted – commercially sensitive information]			[Redacted – commercially sensitive information]
Total sales of all goods during the POI as stated in your management accounts or trial balance	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Variance	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Summary of all products sold	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Goods subject to review / Like Goods	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Other products D (accessories)	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Other products D (accessories - international)	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Other products D (others)	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Other products D (others - international)	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Other products D (Grab)	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Other products D (loader)	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Goods subject to review / Like Goods	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Domestic Sales	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- UK Sales	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Other country sales	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Sales of own production in POI	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Total sales of the goods subject to review to the UK	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Total sales of the out of scope excavators to the UK (imported under 8429 5210 00)	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Total sales of like goods on the domestic market	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Total sales of the like goods to all other countries	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Resales in POI	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Resales of the goods subject to review to the UK	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Resales of the out of scope excavators to the UK (imported under 8429 5210 00)	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Resales of the like goods on the domestic market	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
- Resales of the like goods to all other countries	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]

B2 - Captive sales	
Case no.	AR0089 - Absorption review

• *Please provide total captive sales by PCN by year including both the value and volume*

	Value (£)	Volume (UNITS)	Volume (kgs)
PCN	POI	POI	POI
L	100	100	100
XL	21	16	23

B4.1 - Sales to the UK	
Case no.	AR0089 - Absorption review

- Include all your UK sales net of returns/credit notes for the goods subject to review made during the POI. Include the goods subject to review both produced and purchased for resale.
- Ensure you categorise each sale by PCN. For invoices that consist of multiple PCNs, the same invoice number should be referenced
- The first row has been entered as an example - please delete before submission

Goods information				*Customer information*				*Document reference*		
PCN	**Model**	**CCN**	**Source**	**Customer name**	**Customer number**	**Customer link (Independent/ Associated)**	**Customer type**	**Sales invoice number**	**Sales invoice Date**	**Revenue Recognition Date (DD/MM/YYYY)**
M	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
L	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
XL	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]

		Terms & measurements					*Invoice value*					
Document type (e.g. invoice, despatch)	**Bill of lading no.**	**Delivery terms**	**Payment terms**	**Quantity in kgs**	**Quantity in UNITS**	**Exporting country (if applicable)**	**Gross invoice value**	**Taxes**	**Discounts**	**Rebates**	**Other charges (specify)**	**Net invoice value**
[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]

				Adjustments (include or exclude f						
Invoice currency	**Exchange rate**	**Net invoice value in accounting currency**	**CIF value in accounting currency**	[Freight] (RMB)	[Freight] (converted to GBP)	[Freight] (RMB)	[Freight] (converted to GBP)	[Insurance Fee] (RMB)	[Insurance Fee] (converted to GBP)	[Charges] (RMB)
[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]

ields where relevant)

[Charges] (converted to GBP)	Transport, insurance and handling 2	Packing	Credit	After sales costs	Commissions	Other (Please Specify)
[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive	[Redacted – commercially sensitive	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]

D1 - Turnover	
Case no.	AR0089 - Absorption review

Currency
£/GBP

• Please fill in the white cells only

	POI		
	Volume (UNITS)	Volume (kgs)	Value (£)
Sales to independent customers			
Total turnover (All goods)	12	13	13
Domestic market	4	4	4
Exports to the UK	-	-	-
Exports to third countries	8	9	9
Turnover of goods subject to review/like goods	12	13	13
Domestic market	4	4	4
Exports to the UK	-	-	-
Exports to third countries	8	9	9
Turnover of other goods	0	0	0
Domestic market	0	0	0
Exports to the UK	-	-	-
Exports to third countries	-	-	-
Sales to associated customers			
Total turnover (All goods)	88	87	87
Domestic market	22	23	20
Exports to the UK	0	0	0
Exports to third countries	66	64	66
Turnover of goods subject to review/like goods	88	87	87
Domestic market	22	23	20
Exports to the UK	0	0	0
Exports to third countries	66	64	66
Turnover of other goods	0	0	0
Domestic market	0	0	0
Exports to the UK	-	-	-
Exports to third countries	0	0	0
Sales to all customers			
Total turnover (All goods)	100	100	100
Domestic market	26	27	24
Exports to the UK	0	0	0
Exports to third countries	74	72	76
Turnover of goods subject to review/like goods	100	100	100
Domestic market	26	27	24
Exports to the UK	0	0	0
Exports to third countries	74	72	76
Turnover of other goods	0	0	0
Domestic market	0	0	0
Exports to the UK	-	-	-
Exports to third countries	0	0	0

D2 - Income statement	
Case no.	AR0089 - Absorption review

Currency
£/GBP

- Input all sales, cost to make and AS&G expenses as positive
- For rows 28-31 e.g. interest, report income figures as positive and expenditure figures as negative.

	POI	
	All goods	Goods subject to review/like goods
Gross sales	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Sales returns, rebates and discounts	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Net sales	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Raw materials	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Direct labour	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Depreciation	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Manufacturing overheads	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Other operating expenses	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Total cost to make	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Operating costs	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Operating income	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Selling expenses	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Administrative and general expenses	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Financial expenses	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
AG&S expenses	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Income from normal activities	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Interest income	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Interest expense (enter as a negative)	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Extraordinary gains/losses (enter losses as a negative)	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Abnormal gains/losses (enter losses as a negative)	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Profit before tax	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Tax	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Profit After Tax	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]
Net profit %	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]

D5 - Capacity	
Case no.	**AR0089 - Absorption review**

	POI
Total production capacity of goods subject to review/like goods (UNITS)	[16,000-20,000]
Total of actual production of the goods subject to review/like goods (UNITS)	[13,500-17,000]
Total capacity utilisation for goods subject to review/like goods (%)	[70-90]%

	POI
Total production capacity of goods subject to review/like goods (kgs)	[380,000,000 – 480,000,000]
Total of actual production of the goods subject to review/like goods (kgs)	[300,000,000 – 400,000,000]
Total capacity utilisation for goods subject to review/like goods (%)	[70-90]%

D7 - Purchases of like goods

Case no.	AR0089 - Absorption review

• Please provide your aggregated data per PCN by (i) volume and (ii) value.

	Total volume (UNITS)	Total volume (kgs)	Total value (CNY)
PCN	POI	POI	POI
L	82	76	75
XL	18	24	25
Total purchases	**100**	**100**	**100**

• Please provide transaction-by-transaction data in the table below.请在下表提供逐笔交易数据。
• The first row has been filled in as an example. Please delete this before inputting your data

Goods information					*Document reference*			*Currency conversion*		
PCN	Country origin	Supplier (CN)	Supplier	Date of purchase	Volume (UNITS)	Volume (kgs)	Value	Invoice currency	Exchange rate	Converted value
L	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]	[Redacted – commercially sensitive information]

D8 - Profitability

Case no.	AR0089 - Absorption review

• *Please enter your figures as percentages*

Profit margins	POI
Overall profitability of the company	100
Profitability of goods subject to review and the like goods	164
Profitability of domestic sales of the like goods	19
Profitability of export sales of goods subject to review	-5