

SECTION 4.3

REPORT SAMPLE 4.3.11 : CCMS01 STATEMENT OF COLLATERAL ACCOUNT

(1) CCMS01

HKEX - CCMS
STATEMENT OF COLLATERAL ACCOUNT

(2) RUN DATE : 28SEP12
(3) RUN TIME : 21:56:18
PAGE : 1

(4) CCMS DATE : 28SEP12

(5) FIRM NAME : GOODWILL
(6) PART NAME : GOODWILL & CO
(8) (9) (10)
(7) FIRM ID PART ID A/C TYPE A/C NO

BF01234 B01234 HSE 0001

(11) CASH

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(12) CCY	(13) TIME	(14) TOTAL GENERAL CASH	(15) SPECIAL USE	(16) PENDING DDI	(17) OUTSTANDING DEBIT	(18) MOVEMENT TYPE & DESCRIPTION
HKD		0.00	2,300,000.00	50,000,000.00	0.00	(OPENING)
	11:00			-50,000,000.00		DC-OUTSTANDING DEBIT DDI CONFIRMED
	14:40	4,000.00				IN-INTEREST POSTING (200603) (GEN)
	20:24			10,000,000.00		HI-CASH MARGN SHORTFALL DDI GENERATED
	20:24			4,088,889.00		HI-CASH PDMKS SHORTFALL DDI GENERATED
		4,000.00	2,300,000.00	14,088,889.00	0.00	(CLOSING)

NOTE:

TOTAL GENERAL CASH	=	(19) GENERAL CASH	+	(20) CONTRACT CURRENCY ON-HOLD
4,000.00		4,000.00		0.00

(11) BANK GUARANTEE

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(12) CCY	(21) BG REFERENCE	(13) TIME	(22) RM ALLOCATED AMOUNT	(15) SPECIAL USE	(18) MOVEMENT TYPE & DESCRIPTION
HKD	HKCC COLLATER		1,000,000.00	0.00	(OPENING)
			1,000,000.00	0.00	(CLOSING)

SECTION 4.3

REPORT SAMPLE 4.3.11 : CCMS01 STATEMENT OF COLLATERAL ACCOUNT

(1) CCMS01 HKEX - CCMS (2) RUN DATE : 28SEP12
 STATEMENT OF COLLATERAL ACCOUNT (3) RUN TIME : 21:56:18
 PAGE : 2

(4) CCMS DATE : 28SEP12

(5) FIRM NAME :

(6) PART NAME : GOODWILL & CO
 (8) (9) (10)

(7) FIRM ID PART ID A/C TYPE A/C NO

 BF01234 B01234 HSE 0001

(11) CCASS STOCK
 =====

(23) STOCK CODE	(13) TIME	(24) GENERAL	(25) SPECIFIC	(26) SPECIFIC TO BE RELEASED	(18) MOVEMENT TYPE & DESCRIPTION
1		1,000	0	0	(OPENING)
	16:21	-20			SD-MAINTAIN SPECIFIC STOCK DEFINE
	16:21		20		SD-MAINTAIN SPECIFIC STOCK DEFINE
		980	20	0	(CLOSING)
STOCK CODE	TIME	GENERAL	SPECIFIC	SPECIFIC TO BE RELEASED	MOVEMENT TYPE & DESCRIPTION
4363		0	0	0	(OPENING)
	14:43	10,000			LF-CCASS TO CCMS STOCK TRANSFER
	*21:20	-10,000			CA-CORPORATE ACTION (GEN)
	*21:20	100,000			CA-CORPORATE ACTION (GEN)
		100,000	0	0	(CLOSING)

(11) NON-CCASS STOCK
 =====

(27) ISIN	(13) TIME	(24) GENERAL	(25) SPECIFIC	(26) SPECIFIC TO BE RELEASED	(18) MOVEMENT TYPE & DESCRIPTION
ABC123456789		1,000	0	0	(OPENING)
	16:21	-50			SD-MAINTAIN SPECIFIC STOCK DEFINE
	16:21		50		SD-MAINTAIN SPECIFIC STOCK DEFINE
		950	50	0	(CLOSING)

SECTION 4.3

REPORT SAMPLE 4.3.11 : CCMDS01 STATEMENT OF COLLATERAL ACCOUNT

(1) CCMDS01 HKEX - CCMS STATEMENT OF COLLATERAL ACCOUNT (2) RUN DATE : 28SEP12
 (3) RUN TIME : 21:56:18
 PAGE : 3

(4) CCMS DATE : 28SEP12

(5) FIRM NAME :

(6) PART NAME : GOODWILL & CO
 (8) (9) (10)

(7) FIRM ID PART ID A/C TYPE A/C NO

 BF01234 B01234 HSE 0001

(11) BOND

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(12) CCY	(27) ISIN/CMU	(28) TYP	(29) FACE VALUE	(13) TIME	(30) QUANTITY	(15) SPECIAL USE	(18) MOVEMENT TYPE & DESCRIPTION
HKD	HK0000034980	EFB	500,000.00		50	100	(OPENING)
					50	100	(CLOSING)

(11) SPECIFIC CASH COLLATERAL

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(12) CCY	(23) STK CODE	(13) TIME	(31) CONFIRMED SPECIFIC CASH	(32) PENDING SPECIFIC CASH	(18) MOVEMENT TYPE & DESCRIPTION
CNY	2		0.00	0.00	(OPENING)
		19:39		1,000.00	CO-SPECIFIC CASH DDI GENERATED
			0.0	1,000.00	(CLOSING)

(12) CCY	(23) STK CODE	(13) TIME	(31) CONFIRMED SPECIFIC CASH	(32) PENDING SPECIFIC CASH	(18) MOVEMENT TYPE & DESCRIPTION
HKD	176		0.00	200,000.00	(OPENING)
		11:57	200,000.00	-200,000.00	CM-SPECIFIC CASH DDI CONFIRMED
			200,000.00	0.00	(CLOSING)

