

SECTION 4.3

REPORT SAMPLE 4.3.3 : CCMMV01 PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT

| | | | | | | | | | | | | |
|-------------------------|--|----------------------|---------------------|---------------------|-----------------|----------------------|-----------------------------|---------------|------------------|-----------------|-------------------------|------|
| (1) CCMMV01 | HKEX - CCMS | | | | | | | | | | (2) RUN DATE : 25SEP12 | |
| | PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT | | | | | | | | | | (3) RUN TIME : 23:55:19 | |
| | | | | | | | | | | | PAGE : 1 | |
| (4) CCMS DATE | : | 25SEP12 | | | | | | | | | | |
| (5) FIRM NAME | : | GOODWILL | | | | | | | | | | |
| (6) PART NAME | : | GOODWILL SEC | | | | | | | | | | |
| (7) FIRM ID | (8) PART ID | (9) A/C TYPE | (10) A/C NO | | | | | | | | | |
| BF06520 | B06520 | HSE | 0001 | | | | | | | | | |
| (11) CASH | ===== | | | | | | | | | | | |
| (12) CCY | CU | (13) TRAN DATE/TIME/ | (14) TRAN REF | (15) TYPE / | (16) UPDATED BY | (17) CONFIRMED AMT / | (18) REMARKS | (19) OUTSD DB | (20) PENDING DDI | (21) DCI SENT | (22) DDI COLLECTED | (23) |
| HKD | GEN | 25SEP12/15:25 | 0 | IN | PBCMIS02 | 2.74 | INTEREST POSTING (200512.) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (35) TOTAL MV BAL: | | | | | | 2.74 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (11) BANK GUARANTEE | ===== | | | | | | | | | | | |
| (24) BANK CD | (25) CCY | (26) CU | (27) TRAN DATE/TIME | (28) TYPE | (29) BG SEQ # | (30) BG REF # | (31) RM ALLOC AMOUNT | (32) TRAN REF | (33) UPDATED BY | | | |
| 003 | HKD | GEN | 25SEP12/12:22 | DP | 6748 | DS01BGE1 | 5,000.00 | 000000006748 | H0000119 | | | |
| | HKD | GEN | 25SEP12/12:49 | WH | 6769 | DS01BGE1 | -5,000.00 | | H0000119 | | | |
| (35) TOTAL MV BAL: | | | | | | | 0.00 | | | | | |
| (11) CCASS STOCK | ===== | | | | | | | | | | | |
| (28) STK CODE | (29) ISIN CODE | (30) DEPO | (31) CU | (32) TRAN DATE/TIME | (33) TYPE | (34) CUSTOMER ACC | (35) STM DATE | (36) QUANTITY | (37) TRAN REF | (38) UPDATED BY | | |
| 5 | GB0005405286 | CDP | DEP | 25SEP12/10:39 | UP | | | 8,000 | 0000000011998 | H00001FC | | |
| | GB0005405286 | CDP | GEN | 25SEP12/10:31 | LF | | | 40,000 | 0000000011990 | H00001FC | | |
| | GB0005405286 | CDP | GEN | 25SEP12/10:35 | SD | | | -2,000 | 0000000011992 | H00001FC | | |
| | GB0005405286 | CDP | GEN | 25SEP12/10:39 | UP | | | -8,000 | 0000000011998 | H00001FC | | |
| | GB0005405286 | CDP | SPS | 25SEP12/10:35 | SD | | 31JAN08 | 2,000 | 0000000011992 | H00001FC | | |
| (36) TOTAL MV QUANTITY: | | | | | | | | 40,000 | | | | |

SECTION 4.3

REPORT SAMPLE 4.3.3 : CCMMV01 PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT

| | | | | | | | | | | | |
|----------------------|--|--------------|---------------------|---------------------|-------------------|-------------------------|-------------------------|---------------|-----------------|-----------------|-------------------------|
| (1) CCMMV01 | HKEX - CCMS | | | | | | | | | | (2) RUN DATE : 25SEP12 |
| | PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT | | | | | | | | | | (3) RUN TIME : 23:55:19 |
| | | | | | | | | | | | PAGE : 2 |
| (4) CCMS DATE | : | 25SEP12 | | | | | | | | | |
| (5) FIRM NAME | : | GOODWILL | | | | | | | | | |
| (6) PART NAME | : | GOODWILL SEC | | | | | | | | | |
| (7) FIRM | (8) PART ID | (9) A/C TYPE | (10) A/C NO | | | | | | | | |
| BF06520 | B06520 | HSE | 0001 | | | | | | | | |
| (11) CCASS STOCK | ===== | | | | | | | | | | |
| (28) STK CODE | (29) ISIN CODE | (30) DEPO | (13) CU | (14) TRAN DATE/TIME | (15) TYPE | (17) CUSTOMER ACC | (32) STM DATE | (33) QUANTITY | (16) TRAN REF | (18) UPDATED BY | |
| 4363 | US4642867315 | CDP | GEN | 25SEP12/14:43 | LF | | | 10,000 | 0000000011852 | H0000120 | |
| | US4642867315 | CDP | GEN | 25SEP12/21:20 | *CA | | | -10,000 | | PBCMCA01 | |
| | US4642867315 | CDP | GEN | 25SEP12/21:20 | *CA | | | 100,000 | | PBCMCA01 | |
| | | | | | | (36) TOTAL MV QUANTITY: | | 100,000 | | | |
| (11) NON-CCASS STOCK | ===== | | | | | | | | | | |
| (29) ISIN CODE | (30) DEPO | (13) CU | (14) TRAN DATE/TIME | (15) TYPE | (17) CUSTOMER ACC | (32) STM DATE | (33) QUANTITY | (16) TRAN REF | (18) UPDATED BY | | |
| NCSDS01NC001 | CDP | GEN | 25SEP12/11:25 | DP | | | 1,000 | 0000000006710 | H0000119 | | |
| | | | | | | | (36) TOTAL MV QUANTITY: | 1,000 | | | |
| (11) BONDS | ===== | | | | | | | | | | |
| (29) ISIN CODE | (30) DEPO | (13) CU | (14) TRAN DATE/TIME | (15) TYPE | (17) CUSTOMER ACC | (32) STM DATE | (33) QUANTITY | (16) TRAN REF | (18) UPDATED BY | | |
| DS01NC000001 | CDP | GEN | 25SEP12/10:41 | DP | | | 1,000 | 0000000006663 | H0000119 | | |
| | | | | | | | (36) TOTAL MV QUANTITY: | 1,000 | | | |

SECTION 4.3

REPORT SAMPLE 4.3.3 : CMMV01 PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT

(1) CMMV01

HKEX - CCMS
PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT

(2) RUN DATE : 25SEP12
(3) RUN TIME : 23:55:19
PAGE : 3

(4) CCMS DATE : 25SEP12

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

BF06520 B06520 HSE 0001

(11) SPECIFIC CASH COLLATERAL

| (12) CCY | (13) STK | (28) STK | (29) ISIN | (14) / (15) TRAN DATE/TIME/ | (16) TRAN REF | (37) TRADE DATE / | (38) / (17) / (18) ON-HOLD | (39) / (34) FREE | (40) PENDING | (41) SPECIFIC CASH |
|----------|----------|----------|--------------|-----------------------------|---------------|-------------------|----------------------------|------------------------------|---------------|--------------------|
| CU | CODE | CODE | CODE | TRAN DATE/TIME/ | TRAN REF | DATE / | SPECIFIC CASH / | SPECIFIC CASH / | SPECIFIC CASH | COLLECTED |
| | | | | TRAN DATE/TIME/ | TRAN REF | STM DATE | TYPE / UPDATED BY | REMARKS | | |
| CNY | SPC | 405 | | 25SEP12/19:39 | | 25SEP12 | | 0.00 | 120,000.00 | 0.00 |
| CNY | SPC | 404 | BMG4634Z1014 | 25SEP12/15:08 | | 27SEP12 | CO PBCMML10 | SPECIFIC CASH DDI GENERATED | 80,000.00 | 0.00 |
| CNY | SPC | 404 | BMG4634Z1014 | 25SEP12/16:00 | | 27SEP12 | SO PBCMCH03 | SPECIFIC CASH CPI GENERATED | -80,000.00 | 80,000.00 |
| CNY | SPC | 403 | BMG8438Y1030 | 25SEP12/11:57 | | 27SEP12 | SM PBCMFC03 | SPECIFIC CASH CPI CONFIRMED | 0.00 | 0.00 |
| CNY | SPC | 403 | BMG8438Y1030 | 25SEP12/12:06 | | 27SEP12 | SF H0000103 | ADD GENERAL TO SPECIFIC CASH | 2,000.00 | 0.00 |
| CNY | SPC | 403 | BMG8438Y1030 | 25SEP12/20:33 | | 27SEP12 | SF H0000103 | ADD GENERAL TO SPECIFIC CASH | -2,000.00 | 0.00 |
| CNY | SPC | 417 | BMG911231022 | 25SEP12/19:39 | | 27SEP12 | CQ PBCMGP14 | REFUND FREE SPECIFIC CASH | 0.00 | 160,000.00 |
| CNY | SPC | 2 | HK0002007356 | 25SEP12/19:39 | | 27SEP12 | CO PBCMML10 | SPECIFIC CASH DDI GENERATED | 0.00 | 1,000.00 |
| | | | | | | | | | | |
| | | | | (35) TOTAL MV BAL (CNY): | | | | 0.00 | 120,000.00 | 281,000.00 |
| HKD | SPC | 319 | BMG5222F1344 | 25SEP12/19:39 | | 27SEP12 | CO PBCMML10 | SPECIFIC CASH DDI GENERATED | 160,000.00 | 0.00 |
| HKD | SPC | 176 | BMG925951003 | 25SEP12/11:57 | | 27SEP12 | SF H0000103 | ADD GENERAL TO SPECIFIC CASH | 200,000.00 | 0.00 |
| HKD | SPC | 177 | CN0009076356 | 25SEP12/15:08 | | 27SEP12 | SO PBCMCH03 | SPECIFIC CASH CPI GENERATED | 0.00 | 240,000.00 |
| HKD | SPC | 177 | CN0009076356 | 25SEP12/16:00 | | 27SEP12 | SM PBCMFC03 | SPECIFIC CASH CPI CONFIRMED | 240,000.00 | -240,000.00 |
| HKD | SPC | 318 | KYG5213A1022 | 25SEP12/15:08 | | 27SEP12 | SO PBCMCH03 | SPECIFIC CASH CPI GENERATED | 0.00 | 1,000.00 |
| HKD | SPC | 318 | KYG5213A1022 | 25SEP12/16:00 | | 27SEP12 | SM PBCMFC03 | SPECIFIC CASH CPI CONFIRMED | 1,000.00 | -1,000.00 |
| HKD | SPC | 318 | KYG5213A1022 | 25SEP12/19:39 | | 27SEP12 | CO PBCMML10 | SPECIFIC CASH DDI GENERATED | 0.00 | 280,500.00 |

