

SECTION 4.3
REPORT SAMPLE 4.3.2

(1) (2)
 CSEMS05 980
 (3)CCASS BANK

HKSCC - CCASS
 DDI/DCI/EPI REJECTION LISTING

(4)RUN DATE : 01MAR11
 (5)RUN TIME : 17:45:57
 PAGE : 1

(6)DATE : 01MAR11

REJECTED DDI / DCI / EPI (CNY)
 =====

***** IN ACCORDANCE WITH THE UNDERTAKING SIGNED BY US ON PAYMENT CONFIRMATION, *****
 ***** WE HEREBY CONFIRM THAT ALL THE DDIS/DCIS/EPIS SET OUT IN THE DDI/DCI/EPI LISTING *****
 ***** FOR DESIGNATED BANK HAVE BEEN EFFECTED SAVE AND EXCEPT THE FOLLOWING ITEMS : *****

(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)
DDI/DCI/ EPI NO	PART ID	BCH	NO A/C NUMBER	ACCOUNT NAME	TC	DDI/DCI/EPI AMOUNT	CPTY A/C NUMBER	CPTY ACCOUNT NAME	INPUT BY	AUTH BY
D42028199	H00001	875	06010566	HKSCC-CCASS SETTLEME	26	401,000.00	089 106 106106003	BROKER 10106 CNY A/C	BNK98001	BNK98001

(18)REJECT REASON CODE / DESCRIPTION : 06 ACCOUNT CLOSED

SECTION 4.3
REPORT SAMPLE 4.3.2

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 DDI/DCI/EPI REJECTION LISTING

(4) RUN DATE : 01MAR11
 (5) RUN TIME : 17:45:57
 PAGE : 2

(6) DATE : 01MAR11

REJECTED DDI / DCI / EPI (HKD)
 =====

***** IN ACCORDANCE WITH THE UNDERTAKING SIGNED BY US ON PAYMENT CONFIRMATION, *****
 ***** WE HEREBY CONFIRM THAT ALL THE DDIS/DCIS/EPIS SET OUT IN THE DDI/DCI/EPI LISTING *****
 ***** FOR DESIGNATED BANK HAVE BEEN EFFECTED SAVE AND EXCEPT THE FOLLOWING ITEMS : *****

(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)
DDI/DCI/ EPI NO	PART ID	BCH	NO A/C NUMBER	ACCOUNT NAME	TC	DDI/DCI/EPI AMOUNT	CPTY A/C NUMBER	CPTY ACCOUNT NAME	INPUT BY	AUTH BY
D42028201	H00001	875	06010567	HKSCC-CCASS SETTLEME	26	300,000.00	089 106 106106013	BROKER 10106 HKD A/C	BNK98001	BNK98001

(18) REJECT REASON CODE / DESCRIPTION : 03 INSUFFICIENT FUNDS

SECTION 4.3
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 (4) RUN DATE : 01MAR11
 (5) RUN TIME : 17:45:57
 PAGE : 3

(6) DATE : 01MAR11

REJECTED DDI / DCI / EPI (USD)

***** IN ACCORDANCE WITH THE UNDERTAKING SIGNED BY US ON PAYMENT CONFIRMATION, *****
 ***** WE HEREBY CONFIRM THAT ALL THE DDIS/DCIS/EPIS SET OUT IN THE DDI/DCI/EPI LISTING *****
 ***** FOR DESIGNATED BANK HAVE BEEN EFFECTED SAVE AND EXCEPT THE FOLLOWING ITEMS : *****

(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)
DDI/DCI/ EPI NO	PART ID	BCH NO	A/C NUMBER	ACCOUNT NAME	TC	DDI/DCI/EPI AMOUNT	CPTY A/C NUMBER	CPTY ACCOUNT NAME	INPUT BY	AUTH BY
D42028202	H00001	875	06010568	HKSCC-CCASS SETTLEME	26	200,000.00	089 106 106106023	BROKER 10106 USD A/C	BNK98001	BNK98001

(18) REJECT REASON CODE / DESCRIPTION : 06 ACCOUNT CLOSED

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 DDI/DCI/EPI REJECTION LISTING

(4) RUN DATE : 01MAR11
 (5) RUN TIME : 17:45:57
 PAGE : 4

(6) DATE : 01MAR11

REJECTED DDI / DCI / EPI BY COUNTERPARTY (CNY)

(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)
DDI/DCI/ EPI NO	PART ID	BCH NO	A/C NUMBER	ACCOUNT NAME	TC	DDI/DCI/EPI AMOUNT	CPTY A/C NUMBER	CPTY ACCOUNT NAME
D42028200	H00001	875	06010566	HKSCC-CCASS SETTLEME	26	400,000.00	089 106 106106003	BROKER 10106 CNY A/C
(18) REJECT REASON CODE / DESCRIPTION : 01 NO AUTHORITY								
D42028248	H00001	875	06010566	HKSCC-CCASS SETTLEME	27	1,000.00	111 301 300000188	BROKER 10188 CNY A/C
(18) REJECT REASON CODE / DESCRIPTION : 09 NO ACCOUNT								
D42028270	H00001	875	06010566	HKSCC-CCASS SETTLEME	27	52,000.00	048 123 123423	BROKER 03502 CNY A/C
(18) REJECT REASON CODE / DESCRIPTION : 09 NO ACCOUNT								

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 DDI/DCI/EPI REJECTION LISTING

(4) RUN DATE : 01MAR11
 (5) RUN TIME : 17:45:57
 PAGE : 5

(6) DATE : 01MAR11

REJECTED DDI / DCI / EPI BY COUNTERPARTY (HKD)

(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)
DDI/DCI/ EPI NO	PART ID	BCH NO	A/C NUMBER	ACCOUNT NAME	TC	DDI/DCI/EPI AMOUNT	CPTY A/C NUMBER	CPTY ACCOUNT NAME
D42028233	H00001	875	06010567	HKSCC-CCASS SETTLEME	26	1,000.00	111 301 300000182	BROKER 10182 HKD A/C
(18) REJECT REASON CODE / DESCRIPTION : 09 NO ACCOUNT								
D42028260	H00001	875	06010567	HKSCC-CCASS SETTLEME	27	287,000.00	048 042 123456	BROKER 00135 HKD A/C
(18) REJECT REASON CODE / DESCRIPTION : 11 INSUFFICIENT DETAIL								
E42028263	B35045	875	03504501	BROKER 35045 HKD A/C	28	433,000.00	048 123 123456	BROKER 00142 HKD A/C
(18) REJECT REASON CODE / DESCRIPTION : 09 NO ACCOUNT								

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 PAGE : 6

(6)DATE : 01MAR11

REJECTED DDI / DCI / EPI BY COUNTERPARTY (USD)

(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)
DDI/DCI/ EPI NO	PART ID	BCH NO	A/C NUMBER	ACCOUNT NAME	TC	DDI/DCI/EPI AMOUNT	CPTY A/C NUMBER	CPTY ACCOUNT NAME
D42028208	H00001	875	06010568	HKSCC-CCASS SETTLEME	26	660,000.00	089 109 109109002	BROKER 10109 USD A/C
(18)REJECT REASON CODE / DESCRIPTION : 12 OTHER REASON								
D42028267	H00001	875	06010568	HKSCC-CCASS SETTLEME	27	8,000.00	048 267 267267	BROKER 03502 USD A/C
(18)REJECT REASON CODE / DESCRIPTION : 01 NO AUTHORITY								
D42028274	H00001	875	06010568	HKSCC-CCASS SETTLEME	27	682,000.00	048 123 234121	BROKER 03505 USD A/C
(18)REJECT REASON CODE / DESCRIPTION : 12 OTHER REASON								

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 (5) RUN TIME : 17:45:57
 PAGE : 7

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SUMMARY OF REJECTED DDI/DCI/EPI
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(19) CCY	(20) REJECTED PAYMENT	(21) NO OF REJECTION	(22) TOTAL AMOUNT REJECTED	(23) NO OF REJECTION BY CPTY	(24) TOTAL AMOUNT REJECTED BY CPTY

CNY	DDI	1	401,000.00-	1	400,000.00-
CNY	DCI	0	0.00	2	53,000.00
HKD	DDI	1	300,000.00-	1	1,000.00-
HKD	DCI	0	0.00-	1	287,000.00
HKD	EPI DEBIT	0	0.00-	1	433,000.00-
USD	DDI	1	200,000.00-	1	660,000.00-
USD	DCI	0	0.00-	2	690,000.00

*** END OF REPORT ***