

**SECTION 4.3**  
**REPORT SAMPLE 4.3.1: PROVISIONAL CLEARING STATEMENT**

(1)CCLTN04 (2)B03456  
 (3)CCASS COMPANY  
 HKSCC - CCASS  
 PROVISIONAL CLEARING STATEMENT  
 (29) (MARKET - HONG KONG MK)  
 (4)RUN DATE : 22JUL02  
 (5)RUN TIME : 18:00:00  
 PAGE : 1

(6)TRADE DATE : 22JUL02 (7)SETTLEMENT DATE : 24JUL02

(8)CCASS TRADES  
 =====

(9)	STK/	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(19)	(20)	(28)
(30)	ISIN/	BUY/	TRD	SEHK	BRKR	COUNTERPARTY	QUANTITY	PRICE	TRADE AMT / ACC	TRD ISO	ORGN/	
(23)	CCY	SELL	TIME	TRD REF	NO				INT / STM TOTAL	TYP	/SH	HEDGE
	12	HK	BANK	HK0000000012	(HKD)							
*+	B	10:02	0000010200000001	0810	0840	B12345 GOODFUND & CO.	1,000	1.500	1,500.00-	A		
	B	15:29	0000010200000017	0720	0720	B03456 CCASS COMPANY	2,000	1.600	3,200.00-	MX		R
	S	15:29	0000010200000017	0720	0720	B03456 CCASS COMPANY	2,000-	1.600	3,200.00	MX	N	A
							-----		-----			
				(21)NET POSITION			1,000		1,500.00-			
	S	11:20	0000010200000004	0720	3330	B89213 THOMPSON & CO.	500-	1.000	500.00	O	IY	P
	77	US	STOCK	(USD)								
	B	14:50	0000020200000009	0720	4210	B49288 MCDONALD & CO.	3,000	3.400	10,200.00-	A		L
	B	15:05	0000020200000012	0720	8250	B42863 HING TAT SECS.	4,000	3.300	13,200.00-	A		E
	S	12:30	0000020200000005	0720	8250	B42863 HING TAT SECS.	2,000-	3.200	6,400.00	A	Y	N
				NET POSITION			-----		-----			
							5,000		17,000.00-			
	25	HUTCHISON	(HKD)									
	B	15:26	0000030100000015	0720	2680	B21360 WAI FAT & CO.	6,000	2.500	15,000.00-	M		RN
	S	15:28	0000030100000016	0720	3330	B89213 THOMPSON & CO.	12,000-	2.400	28,800.00	S	N	
				NET POSITION			-----		-----			
							6,000-		13,800.00			
	31011	RMB	STOCK	(CNY)								
	S	15:30	0000030100000030	0720	3330	B89213 THOMPSON & CO.	7,500-	3.400	25,500.00	A	N	AN
				NET POSITION			-----		-----			
							7,500-		25,500.00			
	1688	HK	INV FUND 07	(HKD)								
(27)	(C)		NO. OF DAYS PASSED = 23									
	B	14:10	0000050100000018	0720	3330	B89213 THOMPSON & CO.	3,000	99.700	299,100.00-	M	I	AN
									1,380.00-			
									-----			
									300,480.00-			

(34) '++' - TRADE EXECUTED BY NCP, '+-' - COUNTERPARTY IS NCP

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(8) NON CCASS TRADES

(9) STOCK	BUY/ TRD	(10) SEHK	(11) BRKR	(12) TRD REF	(13) NO	(14) COUNTERPARTY	(15) QUANTITY	(16) PRICE	(18) AMOUNT	(19) TRD TYP	(20) SH IND	(28) ORGN/ HEDGE
6	HYSAN DEV											
*+	B 15:00	0000050200000011	0810	0850	B22345	ROBINSON & CO.	1,000	3.100	3,100.00-	HKD	A	PE
	S 10:32	0000050200000003	0720	4210	B49288	MCDONALD & CO.	2,000-	3.200	6,400.00	HKD	A	Y AN
45	JSH											
	B 14:48	0000060100000008	0720	4210	B49288	MCDONALD & CO.	3,000	4.500	13,500.00-	HKD	M	R
	B 15:25	0000060100000014	0720	8250	B42863	HING TAT SEC CO.	1,000	4.000	4,000.00-	HKD	A	
149	WINSOR IND	HK0000000149										
	S 14:55	0000070100000010	0720	2780	B86755	EVERWISE SECS.	5,000-	3.900	19,500.00	HKD	A	N A
	S 15:15	0000070100000013	0720	2780	B86755	EVERWISE SECS.	2,000-	3.950	7,900.00	HKD	A	N P
185	CHINA LIGHT											
	S 15:29	0000040100000025	0720				8,000-	2.500	20,000.00	HKD	V	Y R
207	JADEMAN WTS 94											
	B 14:35	0000080100000006	0720	3330	B89213	THOMPSON & CO.	10,000	2.200	22,000.00-	HKD	P	L

``` - TRADE EXECUTED BY NCP, `+` - COUNTERPARTY IS NCP

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FORMULA FOR ACCRUED INTEREST CALCULATION:

$$(A) \text{ ACCRUED INTEREST} = \frac{\text{TRADE QTY} * \text{NOMINAL VALUE PER UNIT} * \text{R}\% * \text{ACTUAL DAYS PASSED}}{\text{ACTUAL NO. OF DAYS IN THE YEAR (365/366)}}$$

$$(B) \text{ ACCRUED INTEREST} = \frac{\text{TRADE QTY} * \text{NOMINAL VALUE PER UNIT} * \text{R}\% * \text{NO. OF INTEREST DAYS PASSED}}{360}$$

BASED ON A 360-DAY YEAR CONSISTING OF 12 MONTHS OF 30 INTEREST DAYS EACH

$$(C) \text{ ACCRUED INTEREST} = \frac{\text{TRADE QTY} * \text{NOMINAL VALUE PER UNIT} * \text{R}\% * \text{ACTUAL DAYS PASSED}}{360}$$

$$(D) \text{ ACCRUED INTEREST} = \frac{\text{TRADE QTY} * \text{NOMINAL VALUE PER UNIT} * \text{R}\% * \text{ACTUAL DAYS PASSED}}{365}$$

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SUMMARY OF MONEY OBLIGATIONS

=====

	(22) TOTAL NO OF TRADES	(23) CURRENCY	(24) TOTAL BUY TRADE AMT /TOTAL BUY ACCR INT	(25) TOTAL SELL TRADE AMT /TOTAL SELL ACCR INT	(26) TTL NET MNY OBLIGATIONS / TOTAL NET ACCRUED INT
	-----		-----	-----	-----
CCASS TRADES :					
TRADES TO BE NETTED BY HKSCC	1	CNY	0.00	25,500.00	25,500.00
		CNY	0.00	0.00	0.00
	5	HKD	19,700.00-	32,000.00	12,300.00
		HKD	0.00	0.00	0.00
	3	USD	23,400.00-	6,400.00	17,000.00-
		USD	0.00	0.00	0.00
ISOLATED TRADES	2	HKD	299,100.00-	500.00	298,600.00-
		HKD	1,380.00-	0.00	1,380.00-
	-----		-----	-----	-----
SUB-TOTAL	1	CNY	0.00	25,500.00	25,500.00
		CNY	0.00	0.00	0.00
	7	HKD	318,800.00-	32,500.00	286,300.00-
		HKD	1,380.00-	0.00	1,380.00-
	3	USD	23,400.00-	6,400.00	17,000.00-
		USD	0.00	0.00	0.00
	-----		-----	-----	-----
TOTAL	1	CNY	0.00	25,500.00	25,500.00
	7	HKD	320,180.00-	32,500.00	287,680.00-
	3	USD	23,400.00-	6,400.00	17,000.00-
NON CCASS TRADES :	8	HKD	42,600.00-	53,800.00	11,200.00
	-----		-----	-----	-----
ALL TRADES TOTAL	1	CNY	0.00	25,500.00	25,500.00
	15	HKD	362,780.00-	86,300.00	276,480.00-
	3	USD	23,400.00-	6,400.00	17,000.00-

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		(29) (MARKET - HONG KONG MK)				PAGE :	5		
(6)TRADE DATE : 22JUL02		(7)SETTLEMENT DATE : 24JUL02							
(8)NCP TRADES									
=====									
(9) STK/	(10) (11)	(12)	(13)	(14)	(15)	(16)	(17)	(19)	(20) (28)
(30) ISIN/	BUY/ TRD	SEHK	BRKR				TRADE AMT / ACC	TRD ISO ORGN/	
(23) CCY	SELL TIME	TRD REF	NO	COUNTERPARTY	QUANTITY	PRICE	INT / STM TOTAL	TYP /SH HEDGE	
-----									
(31) NCP FIRM ID : 10001 ABC Company									
6 HYSAN DEV		(HKD)							
NON-CCASS TRADES :									
B	15:00	0000050200000011	0810	0850 B22345 ROBINSON & CO.	1,000	3.100	3,100.00-	A	PE
12 HK BANK		HK0000000012 (HKD)							
CCASS TRADES (CNS):									
B	10:02	0000010200000001	0810	0840 B12345 GOODFUND & CO.	1,000	1.500	1,500.00-	A	

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(8) NCP'S SUMMARY OF NET SETTLEMENT QUANTITY / MONEY OBLIGATIONS					
		(22)	(33)	(23)	(26)
NCP FIRM ID/NAME	(9) STOCK/ (30) ISIN	TOTAL NO OF TRADES	NET STM QUANTITY	CURRENCY	TOTAL NET MONEY OBLIGATIONS/ TOTAL NET ACCRUED INTEREST
-----	-----	-----	-----	-----	-----
10001 ABC Company					
CCASS TRADES:					
CNS TRADES	12 HK BANK HK0000000012	1	1,000	HKD HKD	1,500.00- 0.00
SUB TOTAL		1		HKD HKD	1,500.00- 0.00
TOTAL		1		HKD	1,500.00-
NON-CCASS TRADES:					
	6 HYSAN DEV	1	1,000	HKD	3,100.00-
ALL TRADES TOTAL		2		HKD	4,600.00-

\*\*\* END OF REPORT \*\*\*