

SECTION 4.3  
 REPORT SAMPLE 4.3.2: FINAL CLEARING STATEMENT

(1) CCLTN05 (2) B03456  
 (3) CCASS COMPANY  
 HKSCC - CCASS  
 FINAL CLEARING STATEMENT  
 (35) (MARKET - SHANGHAI MARKET)  
 (4) RUN DATE : 08DEC14  
 (5) RUN TIME : 15:46:00  
 PAGE : 1

(6) TRADE DATE : 08DEC14 (7) SETTLEMENT DATE : 08DEC14

(8) CCASS TRADES

(9)/(36)/(28)	(12)	(13)	(14)	(15)	(16)	(17)	(33)	(20)	(21/22)	(23/34)
STOCK/ISIN/CCY	SEHK	STM	BRKR		QUANTITY	PRICE	TRADE AMT / ACC INT	CHARGES	TRD IS/SH	
(10) B/S/TRD TM (11)	TRD REF	POS NO	NO	COUNTERPARTY			/ STM TOTAL	(HKD)	/AMD	OG/HE
-----										
94095	CHINA WATCH	ISIN111111111	(CNY)							
+B 10:00	6048000013062041		1730 9003	A90003 CSDC (SH)	1,000	10.000	10,000.00-	0.00 A	N	N
*+B 10:02	6048000013062044		1730 9003	A90003 CSDC (SH)	1,000	15.000	15,000.00-	0.00 A	N	N
*+B 10:04	6048000013062045		1730 9003	A90003 CSDC (SH)	2,000	15.000	30,000.00-	0.00 A	N	N
					-----		-----			
(24) NET POSITION		P41091731			4,000		55,500.00-			
-----										
94096	S&K LTD	ISIN111111112	(CNY)							
+S 10:25	6048000013062049		1730 9003	A90003 CSDC (SH)	1,000-	15.000	15,000.00	0.00 A	N	N
					-----		-----			
NET POSITION		P41091732			1,000-		15,000.00			

(40) '\*\*' - TRADE EXECUTED BY NCP, '+' - COUNTERPARTY IS NCP

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FORMULA FOR ACCRUED INTEREST CALCULATION:

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

(D) 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  
 =====

	(27)	(28)	(29)	(30)	(31)	(32)
	TOTAL NO	CCY	TOTAL BUY TRADE AMT	TOTAL SELL TRADE AMT	TTL NET MNY OBLIGATN/	TTL CHARGES
	OF TRADES		/TOTAL BUY ACCR INT	/TOTAL SELL ACCR INT	TTL NET ACCR INTEREST	(HKD)
CCASS TRADES :						
TRADES NOVATED AND NETTED BY HKSCC	4	CNY	55,000.00-	15,000.00	40,000.00-	0.00
		CNY	0.00	0.00	0.00	
ISOLATED TRADES	0		0.00	0.00	0.00	0.00
			0.00	0.00	0.00	
SUB-TOTAL	4	CNY	55,000.00-	15,000.00	40,000.00-	0.00
		CNY	0.00	0.00	0.00	
TOTAL	4	CNY	55,000.00-	15,000.00	40,000.00-	0.00
ALL TRADES TOTAL	4	CNY	55,000.00-	15,000.00	40,000.00-	0.00

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		(35) (MARKET - SHANGHAI MARKET)				PAGE :	4	
(6) TRADE DATE :	08DEC14		(7) SETTLEMENT DATE :	08DEC14				
(8) NCP TRADES	=====							
(9)/(36)/(28)	(12)	(14)	(15)	(16)	(17)	(33)	(20)	(21/22) (23/34)
STOCK/ISIN/CCY	SEHK	BRKR	COUNTERPARTY	QUANTITY	PRICE	TRADE AMT / ACC INT	CHARGES	TRD IS/SH
(10) B/S/TRD TM (11)	TRD REF	NO				/ STM TOTAL	(HKD)	/AMD OG/HE
-----								
(37) NCP FIRM ID :	10001 ABC COMPANY							
	94095 CHINA WATCH ISIN111111111 (CNY)							
	CCASS TRADES (CNS)							
B	10:02	6048000013062044	1730 9003 A90003	CSDC (SH)	1,000	15.000	15,000.00-	0.00 A N N
	NCP FIRM ID : 10002 DEF COMPANY							
	94095 CHINA WATCH ISIN111111111 (CNY)							
	CCASS TRADES (CNS)							
B	10:04	6048000013062045	1730 9003 A90003	CSDC (SH)	2,000	15.000	30,000.00-	0.00 A N N

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(8) NCP'S SUMMARY OF NET SETTLEMENT QUANTITY / MONEY OBLIGATIONS

(38) NCP FIRM ID/NAME	(9) STOCK/ (36) ISIN	(27) TOTAL NO OF TRADES	(39) NET STM QUANTITY	(28) CURRENCY	(31) TOTAL NET MONEY OBLIGATIONS/ TOTAL NET ACCRUED INTEREST
10001 ABC COMPANY CCASS TRADES:					
CNS TRADES	94095 CHINA WATCH ISIN111111111	1	1,000	CNY CNY	15,000.00- 0.00
SUB TOTAL		1		CNY CNY	15,000.00- 0.00
TOTAL		1		CNY	15,000.00-
ALL TRADES TOTAL		1		CNY	15,000.00-
10002 DEF COMPANY CCASS TRADES:					
CNS TRADES	94095 CHINA WATCH ISIN111111111	1	2,000	CNY CNY	30,000.00- 0.00
SUB-TOTAL		1		CNY CNY	30,000.00- 0.00
TOTAL		1		CNY	30,000.00-
ALL TRADES TOTAL		1		CNY	30,000.00-

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