

SECTION 4.3
 REPORT SAMPLE 4.3.3: SI STATUS REPORT

(1) CCLSI01 (2) B03456
 (3) CCASS COMPANY

HKSCC - CCASS
 SI STATUS REPORT
 (21) (MARKET - SHANGHAI MARKET)

(4) RUN DATE : 08DEC14
 (5) RUN TIME : 21:45:00
 PAGE : 1

(6) DATE : 08DEC14

(7) PENDING SI
 =====

(8) STM DATE	(9) (22) COUNTERPARTY/ STOCK/ISIN	(10) SI INP NO/ INS INP DATE/ TYP STM A/C	(11) (12)	(13) QUANTITY/ MONEY VALUE	(14) (15) PI/PURP/DI/ SCCY/ HOLD/ INT REF	(16) (17) CLIENT A/C NO/ CLIENT NAME/ SI LINK REF	(18) REMARKS / PROCESSING REF
08DEC14	C00352 GOHEAD BANK 92924 EVER PLASTIC ISIN111111111	D I00034796 05DEC14 8		30,000- 0.00	FOP N CNY N	249 SI LINK REF 123 THIS IS PROCESSING REF	
08DEC14	B72437 MILLION G LTD 93185 CHINA PHONE ISIN111111112	R I20041277 05DEC14 1		10,000 0.00	FOP N CNY N E67	F419	

TOTAL NO OF PENDING SI : 2

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(4) RUN DATE : 08DEC14
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 PAGE : 2

(6) DATE : 08DEC14

(7) UNMATCHED SI
 =====

(8)	(9) (22)	(10) SI INP NO/	(11) (12)	(13)	(14) (15)	(16) (17)	(18)
STM	COUNTERPARTY/	INS INP DATE/	TYP STM A/C	QUANTITY/	PI/PURP/DI/	CLIENT A/C NO/	REMARKS /
DATE	STOCK/ISIN			MONEY VALUE	SCCY/ HOLD/	CLIENT NAME/	PROCESSING REF
					INT REF	SI LINK REF	
09DEC14	B38601 FOREVER LTF	D I00035197		200-	FOP N	123	
	92933 CHINA WATCH	05DEC14		0.00	CNY N	C P CHAN	
	ISIN111111113	3			A123	SI LINK REF ABC THIS IS PROCESSING REF	

TOTAL NO OF UNMATCHED SI : 1

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(4) RUN DATE : 08DEC14
 (5) RUN TIME : 21:45:00
 PAGE : 3

(6) DATE : 08DEC14

(7) MATCHED SI (PENDING SETTLEMENT)

(9) (23) (22)		(11) (19)	(13) (20)	(14) (12)	(16) (17)	(15) (18)
(8) COUNTERPARTY/ STM DATE	STOCK STM POS NO / ISIN	(10) SI INP NO/ INS INP DATE/ TYP MAT DATE	QUANTITY/ MONEY VALUE/ ACTUAL STM AMOUNT	PI/PURP/DI/ SCCY/ HOLD/ STM AC/	CLIENT A/C NO/ CLIENT NAME/ SI LNK REF	INTNL REF / REMARKS / PROCESSING REF
10DEC14	B38522 KING FINANCE 93677 ALI TECH P40000001	D I00005674 05DEC14 05DEC14	3,000- 0.00	FOP N CNY N 8		A1234SI LINKAGE REF THIS IS PROCESSING REF

TOTAL NO OF MATCHED SI : 1

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(4) RUN DATE : 08DEC14
 (5) RUN TIME : 21:45:00
 PAGE : 4

(6) DATE : 08DEC14

(7) MATCHED ON-HOLD SI (PENDING SETTLEMENT)

(8)	(9) (23) (22)	(11) (19)	(13) (20)	(14) (12)	(16) (17)	(15) (18)
STM	COUNTERPARTY/ STOCK	(10) SI INP NO/ INS INP DATE/	QUANTITY/ MONEY VALUE/	PI/PURP/DI/ SCCY/ HOLD/	CLIENT A/C NO/ CLIENT NAME/	INTEL REF / REMARKS /
DATE	STM POS NO / ISIN	TYP MAT DATE	ACTUAL STM AMOUNT	STM AC/	SI LNK REF	PROCESSING REF
10DEC14	B38522 KING FINANCE	D I00005675	3,000-	FOP N		X123456Z
	90185 LOYAL LIGHT	05DEC14	0.00	CNY Y		
	P40000002	05DEC14		8	LINKAGE REF	
						THIS IS PROCESSING REF

TOTAL NO OF MATCHED ON-HOLD SI : 1

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(4) RUN DATE : 08DEC14
 (5) RUN TIME : 21:45:00
 PAGE : 5

(6) DATE : 08DEC14

(7) PAYMENT VALIDATED SI
 =====

(8) STM DATE	(9) (22) COUNTERPARTY/ STOCK/ISIN	(10) SI INP NO/ INS INP DATE/ TYP STM A/C	(11) (12) I10000034 05DEC14 1	(13) (20) QUANTITY/ MONEY VALUE/ ACTUAL STM AMOUNT	(14) (15) PI/PURP/DI/ SCCY/ HOLD/ INTNL REF	(16) (17) CLIENT A/C NO/ CLIENT NAME/ SI LINK REF	(18) REMARKS / PROCESSING REF
08Dec14	B38522 KING FINANCE 90185 LOYAL LIGHT	D I10000034 05DEC14 1		502,300- 34,300,000.00	RDP C N CNY N C/N23755	162 S K CHEUNG SI LINKAGE REF	
	B38522 KING FINANCE 90185 LOYAL LIGHT	D I10000035 05DEC14 1		3,230,400- 97,394,500.00	RDP C N HKD Y C/N20973	397 THIS IS PROCESSING REF	
	B38522 KING FINANCE 90185 LOYAL LIGHT	D I10000036 05DEC14 1		3,230,400- 97,394,500.00	RDP C N USD Y C/N20973	397	
TOTAL NO OF PAYMENT VALIDATED SI :			3				

*** END OF REPORT ***