

SECTION 4.3
REPORT SAMPLE 4.3.4: SI ACTIVITY REPORT

(1) CCLSI02 (2) B11668
(3) CCASS COMPANY

HKSCC CCASS
SI ACTIVITY REPORT
(43) (MARKET - SHANGHAI MARKET)

(4) RUN DATE : 08DEC14
(5) RUN TIME : 21:30:00
PAGE : 1

(6) DATE : 08DEC14

(7) USER ACTIVITY

(8) TIME/ USER	(9) FUNC	(30) STM DT/ STATUS	(11) COUNTERPARTY/ STOCK/ISIN (44) STM A/C	(12) INS	(13) SI INP NO/ TYP STM POS NO	(14) QUANTITY/ MONEY VALUE (32) SI LINK REF	(15) PI/PURP/DI/ SCCY/HOLD/ INT REF	(16) CLIENT A/C NO / PROCESSING REF / REMARKS
10:20:30 B1166802	INP	10DEC14 PND	C36554 CHINA N LTD 90185 LOYAL LIGHT	D	I20000021	300,000 0.00 SI LINKAGE REF	FOP N CNY N X311	256 S.A. & CO. THIS IS PROCESSING REF
			8 A/C FOR ABC CO					
11:10:00 B1166802	DEL	09DEC14	C36554 CHINA N LTD 90185 LOYAL LIGHT	D	I20000002	5,000 0.00	FOP Y CNY N X887	
			1 CLEARING A/C					
11:30:00 B1166801	INP	09DEC14 UNM	C21355 MILLION N LTD 90185 LOYAL LIGHT	D	I20000025	2,000 0.00	FOP Y CNY N C/N12345	456 A B CHAN DELIVER TO MILLION N LTD
			1 CLEARING A/C					
14:18:40 B1166801	RVK	09DEC14	B38352 CONCORD BANK 90112 FAR WISH BANK	R	I70000003 P23482935	4,000 0.00	FOP L N CNY N X6973	
			1 CLEARING A/C					
15:10:00 B1166801	DEL	09DEC14 UNM	C71857 BILLION N LTD 90117 TECH FOUNDATION	D	I20000014	500 0.00	FOP Y CNY N C/N26789	
			1 CLEARING A/C					
15:15:00 B1166803	AUT	09DEC14	B36554 OVERSEAS N LTD 90182 CHINA ENERGY	D	I20000022	300,000- 0.00	FOP P Y CNY N X311	256 S.A. & CO.
			1 CLEARING A/C					

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(8) TIME/ USER	(9) FUNC	(30) STM DT/ STATUS	(11) COUNTERPARTY/ STOCK/ISIN (44) STM A/C	(12) INS	(13) SI INP NO/ STM POS NO (32)	(14) QUANTITY/ MONEY VALUE SI LINK REF	(15) PI/PURP/DI/ SCCY/HOLD/ INT REF	(16) CLIENT A/C NO / PROCESSING REF / REMARKS
15:53:03 B1166801	CHG B	09DEC14 MAT	C21355 MILLION N LTD 90185 LOYAL LIGHT	D	I20000029	2,000 0.00	FOP C Y CNY Y	456 THIS IS PROCESSING REF DELIVER TO MILLION N LTD
			9 A/C FOR XYZ CO					
	A	09DEC14 MAT	C21355 MILLION N LTD 90185 LOYAL LIGHT	D	I20000029	2,000 0.00	FOP C Y CNY Y	456 DELIVER TO MILLION N LTD
			1 CLEARING A/C					
15:55:03 B1166801	CHG B	09DEC14 MTH	C21355 MILLION N LTD 90185 LOYAL LIGHT	D	I20000030	2,000 0.00	FOP C Y CNY Y A333	456 DELIVER TO MILLION N LTD
			9 A/C FOR XYZ CO					
	A	09DEC14 MTH	C21355 MILLION N LTD 90185 LOYAL LIGHT	D	I20000030	2,000 0.00	FOP C Y CNY Y A388	456 DELIVER TO MILLION N LTD

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(7) SUMMARY OF USER ACTIVITY

(17) TRANSACTION TYPE	(18) TOTAL NO. OF TRANSACTIONS	(19) CHARGES PER TRANSACTION (HKD)	(20) TOTAL CHARGES (HKD)
PENDING SI INPUT	1	1.00	1.00
UNMATCH SI INPUT	1	1.00	1.00
SI CHANGES (MAT/MAT ON-HD)	2	1.00	2.00
SI AUTHORISATION	1	0.00	0.00
SI DELETION	2	1.00	2.00
SI REVOCATION	1	1.00	1.00
SI SHARES ON-HOLD (DI)	0	0.00	0.00
TOTAL CHARGES FOR SI =			7.00

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(7) SYSTEM ACTIVITY

(21) STATUS	(22) SI INP NO	(23) STM DATE/ STM A/C	(24) COUNTERPARTY	(25)/(44) STOCK/ISIN	(12) INS TYP	(26) STM POS NO	(27)/(32) QUANTITY SI LINK REF	(28)/(33) MONEY VALUE/ ACTUAL STM AMOUNT	(29) SCCY/HOLD INTNL REF
MATCHED	I20000025	09DEC14 8	C21355 BILLION N LTD	90185 LOYAL LIGHT ISIN11111111	D	P23000014	2,000- SI LINKAGE REF	0.00	CNY N C/N12345
RVK-C/P	I70000011	09DEC14 1	B38352 CONCORD BANK	90112 FAR WISH BANK ISIN11111112	R	P23482935	4,000	0.00	CNY Y X6973
	I10000020	10DEC14 7	C21355 BILLION N LTD	90117 TECH FOUNDATION ISIN11111113	D	P23311420	8,000-	0.00	CNY C/N89138
PURGED	I30000007	05DEC14 1	C71857 BILLION N LTD	90117 TECH FOUNDATION ISIN11111113	R		5,000	0.00	CNY N E112
	I30000101P	09DEC14 1	B38352 CONCORD BANK	90112 FAR WISH BANK ISIN11111112	D		3,000-	0.00	CNY
HLD/MTH	I20000018	04DEC14 1	B36554 OVERSEAS N LTD	90182 CHINA ENERGY ISIN11111114	D	P23000010	6,000-	0.00	CNY Y X990
RVK	I10000020	04DEC14 1	C21358 WORLD LTD	90217 TECH FORCE ISIN11111115	D	P23311426	2,000-	0.00	CNY N X998

TOTAL NO OF SI MATCHED : 2 TOTAL NO OF SI REVOKED : 3 TOTAL NO OF SI PURGED : 2
TOTAL NO OF SI SHARES ON-HOLD(BCH) : 0 TOTAL NO OF RELEASED SI : 0 TOTAL NO OF MATCHED ON-HOLD SI (MATCHING RUN) : 1

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(7) SI CONVERSION ACTIVITY

(31) STATUS	(22) SI INP NO	(23) STM DATE/ STM A/C	(24) COUNTERPARTY	(25)/(44) STOCK/ISIN	(12) INS TYP	(26) STM POS NO	(27) QUANTITY	(28)/(32) MONEY VALUE SI LINK REF	(29) SCCY/ INTNL REF
BEFORE	I20000035	09DEC14	B36554 OVERSEAS N LTD	90112 FAR WISH BANK ISIN11111112	D	P23000011	10,000-	0.00	CNY
AFTER	I20000035	09DEC14	B36554 OVERSEAS N LTD	90112 FAR WISH BANK ISIN11111112	D	P23000011	30,000-	0.00	CNY
BEFORE	I20000036	09DEC14	C21355 MILLION N LTD	90182 CHINA ENERGY ISIN11111114	D	P23000014	5,000-	0.00	CNY
AFTER	I20000036	09DEC14	C21355 MILLION N LTD	90182 CHINA ENERGY ISIN11111114	D	P23000014	25,000-	0.00	CNY
BEFORE	I20000047	10DEC14	C21355 MILLION N LTD	90112 FAR WISH BANK ISIN11111112	D	P23300119	2,000-	0.00	CNY
AFTER	I20000047	10DEC14	C21355 MILLION N LTD	90112 FAR WISH BANK ISIN11111112	D	P23000119	6,000-	0.00	CNY
BEFORE	I20000058	10DEC14	B38352 CONCORD BANK	90117 TECH FOUNDATION ISIN11111113	D	P23300121	100,000-	0.00	CNY
AFTER	I20000058	10DEC14	B38352 CONCORD BANK	90117 TECH FOUNDATION ISIN11111113	D	P23300121	200,000-	0.00	CNY
BEFORE	I20000060	10DEC14	C71857 BILLION N LTD	90112 FAR WISH BANK ISIN11111112	D	P26000296	12,000-	0.00	CNY
AFTER	I20000060	10DEC14	C71857 BILLION N LTD	90112 FAR WISH BANK ISIN11111112	D	P26000296	46,000-	0.00	CNY

TOTAL NO OF SI CONVERTED : 5

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(7) HIDE UNMATCHED SI CONTENT COUNTERPARTY LIST MAINTENANCE ACTIVITY

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(34)          (45)          (46)          (36)          (37)          (38)
ACTION        COUNTERPARTY ID  STATUS      UPDATED BY   TIME         TERM ID
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ADD           B01122      PENDING     B1166801    10:00        RY8A
DELETE       B01122      PENDING     B1166801    10:00        RY8A
ADD           B01124      PENDING     B1166801    10:02        RY8A
AUTHORIZE    B01124      AUTHORISED  B1166802    10:11        RY8A
CANCEL       B01124      AUTHORISED  B1166801    10:20        RY8A
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(39)TOTAL NO OF RECORDS ADDED : 2
(40)TOTAL NO OF RECORDS DELETED : 1
(41)TOTAL NO OF RECORDS AUTHORIZED : 1
(42)TOTAL NO OF RECORDS CANCELLED : 1

*** END OF REPORT ***