

SECTION 4.3
 REPORT SAMPLE 4.3.5a UNMATCHED SI REPORT

CCLUS01(1) B03456 (2)
 CCASS COMPANY (3)

HKSCC - CCASS
 UNMATCHED SI REPORT
 (MARKET - SHANGHAI MARKET) (16)

(4) RUN DATE : 08DEC14
 (5) RUN TIME : 11:50:31
 PAGE : 1

DATE : 08DEC14 (6)

(A) POSSIBLE MATCHING SI (3 OR BELOW UNMATCHED FIELDS) (7)

(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)
INS TYPE/ STM DATE	PART ID/NAME SI INPUT NO	STOCK CODE/ ISIN	QUANTITY/ MONEY VALUE	PMT INS/ SCCY /PUR	CLIENT A/C NO/ CLIENT NAME/ PROCESSING REF	INTERNAL TXN REF	UNMATCHED REASON CODE
@D 08DEC14*	B03000 BROKER B03000 I40051103	90185 LOYAL LIGHT ISIN111111111	3,000- * 0.00	FOP CNY /	A1389 M SDC LTD	* A011245	1 2 6
R 09DEC14*	B03456 CCASS COMPANY I40051108	90185 LOYAL LIGHT ISIN111111111	2,000 * 0.00	FOP CNY /	A138 M SDC LTD	* CL0346	
@D 08DEC14	* B03000 BROKER B03000 I40051105	90112 FAR WISH BANK ISIN111111112	2,220- 0.00	FOP CNY /	258-1110 C H & D CO	A011268	4
D 08DEC14	* B03456 CCASS COMPANY I40051109	90112 FAR WISH BANK ISIN111111112	2,220- 0.00	FOP CNY /	258-1110 M H & D CO	CL0489	
@D 08DEC14	B03000 BROKER B03000 I40051106	90182 CHINA ENERGEY * ISIN111111114	3,333- 0.00	FOP CNY/	U632 C O & O INV	A012460	3
R 08DEC14	B03456 CCASS COMPANY I40051111	90117 TECH FOUNDATION* ISIN111111113	3,333 0.00	FOP CNY /	U632 C O & O INV	CL0390	

UNMATCHED REASON CODES: (15)

- | | | |
|---------------------------------|--------------------------------------|---|
| 1 - SETTLEMENT DATE UNMATCH | 2 - CLIENT A/C NO. UNMATCH | 3 - STOCK CODE/ISIN UNMATCH |
| 4 - INSTRUCTION TYPE UNMATCH | 5 - PAYMENT INSTRUCTION UNMATCH | 6 - QUANTITY UNMATCH |
| 7 - MONEY VALUE UNMATCH | 8 - NO POSSIBLE MATCHING SI IS FOUND | 9 - POSSIBLE MATCHING SI BUT NOT EARMARKED AS PAIRS |
| A - SETTLEMENT CURRENCY UNMATCH | | |

NOTE :

- | | | |
|---------------------------------|---------------------|----------------------------------|
| @ - SI INPUT BY THE PARTICIPANT | * - UNMATCHED FIELD | # - MATCHED WITH TOLERANCE LIMIT |
|---------------------------------|---------------------|----------------------------------|

SECTION 4.3
 REPORT SAMPLE 4.3.5a UNMATCHED SI REPORT

CCLUS01(1) B03456 (2) HKSCC - CCASS (4) RUN DATE : 08DEC14
 CCASS COMPANY (3) UNMATCHED SI REPORT (5) RUN TIME : 11:50:31
 (MARKET - SHANGHAI MARKET) (16) PAGE : 2

DATE : 08DEC14 (6)

(B) SI WITH UNMATCHED REASON (8) (7)

(8)	(9)	(10)	(11)	(12)	(13)	(14)
INS TYPE/ STM DATE	PART ID/NAME SI INPUT NO	STOCK CODE/ ISIN	QUANTITY/ MONEY VALUE	PMT INS/ SCCY /PUR	CLIENT A/C NO/ CLIENT NAME PROCESSING REF	INTERNAL TXN REF
@D 08DEC14	B03456 CCASS COMPANY I40051108	90231 KEL & JILL ISIN11111117	8,000- 0.00	FOP CNY / C	Y215 GIDEN INV THIS IS PROCESSING REF	A450044
R 08DEC14	C01234 CUSTODIAN CCD I40051110	90182 CHINA ENERGY ISIN11111114	74,000 0.00	FOP CNY / M	D23400-890 WORLD FUND INV	E900-678

UNMATCHED REASON CODES: (15)

- | | | |
|---------------------------------|--------------------------------------|---|
| 1 - SETTLEMENT DATE UNMATCH | 2 - CLIENT A/C NO. UNMATCH | 3 - STOCK CODE/ISIN UNMATCH |
| 4 - INSTRUCTION TYPE UNMATCH | 5 - PAYMENT INSTRUCTION UNMATCH | 6 - QUANTITY UNMATCH |
| 7 - MONEY VALUE UNMATCH | 8 - NO POSSIBLE MATCHING SI IS FOUND | 9 - POSSIBLE MATCHING SI BUT NOT EARMARKED AS PAIRS |
| A - SETTLEMENT CURRENCY UNMATCH | | |

NOTE :

- | | | |
|---------------------------------|---------------------|----------------------------------|
| @ - SI INPUT BY THE PARTICIPANT | * - UNMATCHED FIELD | # - MATCHED WITH TOLERANCE LIMIT |
|---------------------------------|---------------------|----------------------------------|

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CCLUS01 (1) B03456 (2)
 CCASS COMPANY (3)

HKSCC - CCASS
 UNMATCHED SI REPORT
 (MARKET - SHANGHAI MARKET) (16)

(4) RUN DATE : 08DEC14
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 PAGE : 3

DATE : 08DEC14 (6)

(C) SI WITH UNMATCHED REASON (9) (7)

(8)	(9)	(10)	(11)	(12)	(13)	(14)
INS TYPE/ STM DATE	PART ID/NAME SI INPUT NO	STOCK CODE/ ISIN	QUANTITY/ MONEY VALUE	PMT INS/ SCCY /PUR	CLIENT A/C NO/ CLIENT NAME PROCESSING REF	INTERNAL TXN REF
@D 08DEC14	B03000 BROKER B03000 I40051104	90112 FAR WISH BANK ISIN111111112	2- 0.00	FOP CNY / M	M009 GOLD MILE INV THIS IS PROCESSING REF	A025417
	B07852 NORWAY BROKER I40067098					
R 08DEC14	B03000 BROKER B03000 I40051107	90185 LOYAL LIGHT ISIN111111111	1,111 0.00	FOP CNY / M	1-984-AB04 WOODS TRUST	587-1-001

UNMATCHED REASON CODES: (15)

- 1 - SETTLEMENT DATE UNMATCH
- 2 - CLIENT A/C NO. UNMATCH
- 3 - STOCK CODE/ISIN UNMATCH
- 4 - INSTRUCTION TYPE UNMATCH
- 5 - PAYMENT INSTRUCTION UNMATCH
- 6 - QUANTITY UNMATCH
- 7 - MONEY VALUE UNMATCH
- 8 - NO POSSIBLE MATCHING SI IS FOUND
- 9 - POSSIBLE MATCHING SI BUT NOT EARMARKED AS PAIRS
- A - SETTLEMENT CURRENCY UNMATCH

NOTE :

- @ - SI INPUT BY THE PARTICIPANT
- * - UNMATCHED FIELD
- # - MATCHED WITH TOLERANCE LIMIT

*** END OF REPORT ***