

SECTION 4.3  
 REPORT SAMPLE 4.3.12: SETTLEMENT REPORT

(1)CSESE01	(2)B11668	HKSCC - CCASS										(4) RUN DATE : 08DEC14
(3)CCASS COMPANY		SETTLEMENT REPORT										(5) RUN TIME : 21:05:00
		(42) (MARKET - SHANGHAI MARKET)										PAGE : 1
(6)DATE : 08DEC14												
(7)SETTLED POSITIONS												
=====											(18)/(40)	
(8)STK (9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	EPI	(39)		
(43)ISINPOS	STM	SETTLEMENT		STM	STM	SETTLEMENT	MNY POSITION /	CHARGES	NUMBER /	INT REF /		
(41)CCY TYP	DATE	POSITION NO	COUNTERPARTY	MD	ACCOUNT	QUANTITY	ACCRUED INT/SCCY	(HKD)	SI LK REF	STM OBL		
-----												
90185	LOYAL LIGHT	BMG6844S1089	(CNY)				(44) NOM PRC / STK PAR :		1.00000			
SI	08DEC14	P23000014	C C21755 WORLDWIDE LTD	DI	1	2,000-	0.00 CNY	2.00		C/N12645		
STOCK 90185 TOTAL :						2,000-	0.00 CNY	2.00				
CNS	08DEC14	P21000121	H00001 HKSCC	AL	1	1,000	1,000.00-CNY					
STOCK 90185 TOTAL :						1,000	1,000.00-CNY	0.00				
SI	08DEC14	P23004014	C C23755 WORLDWIDE LTD	DI	1	10,000-	0.00 CNY	2.00		C/N12645		
STOCK 90185 TOTAL :						10,000-	0.00 CNY	2.00				
90159	NAM WAH GROUP	BMG159000832	(CNY)				(44) NOM PRC / STK PAR :		1.00000			
SI	08DEC14	P23000014	C C21355 MILLION N LTD	PB	1	2,000-	0.00 CNY	2.00		C/N12345		
		P23000018	P P36554 OVERSEAS N LTD	PB	11	5,000-	0.00 CNY	2.00		X887		
										SI LINK REF 8		
STOCK 90159 TOTAL :						7,000-	0.00 CNY	4.00				
90117	TECH FOUNDATION	BMG019600101	(CNY)				(44) NOM PRC / STK PAR :		5.00000			
CNS	08DEC14	P43000179	H00001 HKSCC	PB	1	5,000-	25,000.00 CNY					
STOCK 90117 TOTAL :						5,000-	25,000.00 CNY	0.00				
NOTE : * ADJUSTMENT DUE TO FLOATING RATE CHANGE											GRAND TOTAL : 8.00	

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 (42) (MARKET - SHANGHAI MARKET)

(4) RUN DATE : 08DEC14  
 (5) RUN TIME : 21:05:00  
 PAGE : 2

(6) DATE : 08DEC14

(7) CANCELLED/PURGED/REVOKED POSITIONS  
 =====

(8) STK	(9)	(10)	(11)	(14)	(21)	(22)	(23)	(19)/(40)	(24)	
(43) ISINPOS	STM	SETTLEMENT	DI (20)	(12)	STM	DELIVERING	RECEIVING	TRADE AMT /	INT REF/	
(41) CCY	TYP	DATE	POS NO	RQ	COUNTERPARTY	ACCOUNT	QUANTITY	ACCRUED INT/SCCY	SI LINK REF	REMARKS
90112	FAR WISH BANK				(CNY)					
H	SI	08DEC14	P20010050	N	C71937 BILLION LTD	2	1,000	0.00 CNY		REVOKED
STOCK 90112 TOTAL :							1,000	0.00 CNY		
92817	I.G GROUP				(CNY)					
H	SI	08DEC14	P20000055	N	C71837 BILLION N LTD	1	1,000	0.00 CNY		REVOKED
STOCK 92817 TOTAL :							1,000	0.00 CNY		

NOTE : R - REALTIME DVP                      H - MATCHED ON-HOLD SI

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 (42) (MARKET - SHANGHAI MARKET)  
 PAGE : 3

(6) DATE : 08DEC14

(7) UNSETTLED POSITIONS

(8) STK	(9)	(10)	(11)	(20)	(12)	(14)	(21)	(22)	(23)	(19)	(39)	(40)	(24)
(43) ISINPOS	STM	SETTLEMENT	DI		COUNTERPARTY	STM	DELIVERING	RECEIVING	TRADE AMT /	STM OBL /	SI LINK REF		REMARKS
(41) CCY	TYP	DATE	POS NO	RQ		ACCOUNT	QUANTITY	QUANTITY	ACCRUED INT/SCCY				
90077	CN	WATCH			(CNY) RATE =	1.250000%	(45)						
	CNS	08DEC14	P21000234	N	H00001	HKSCC	8	3,000	9,600.00-CNY	P			
STOCK 90077 TOTAL :								3,000	9,600.00-CNY				

NOTE : R - REALTIME DVP

H - MATCHED ON-HOLD SI

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(7) CHANGE DI REQUIREMENT ACTIVITY

(8)	(43)	(41)	POS	STM	(11)	(28)	(29)	(33)	(12)	(30)	(23)	(31)	(32)	
STOCK/ISIN		CCY	TYP	DATE	STM	POS	NO	N/O	ACCOUNT	COUNTERPARTY	OUTSTANDING QUANTITY	TRADE AMT / ACCRUED INTEREST	SCCY USER	TIME
90185 LOYAL LIGHT		CNY	H	08DEC14	P	23000014		P	Y N	1 C21355 MILLION N LTD	2,000-	0.00 CNY	B1166801	11:15:30
					P	23000018		P	N Y	4 P36554 CHINA N LTD	5,000-	0.00 CNY	B1166801	11:16:30

TOTAL NUMBER OF IT : 0

TOTAL NUMBER OF SI : 2

TOTAL NUMBER OF ISI : 0

NOTE : R - REALTIME DVP H - MATCHED ON-HOLD SI

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(7)SUMMARY OF MONEY POSITION: SETTLEMENT CURRENCY - CNY

=====		(25)	(26)	(27)
		AMT RECEIVABLE / ACCRUED INTEREST	AMT PAYABLE / ACCRUED INTEREST	NET AMT RCVBL/PAYBL / NET ACCRUED INTEREST
-----				
SETTLED POSITIONS:	CNS	25,000.00	1,000.00-	24,000.00
		0.00	0.00	0.00
	IT & SI	0.00	0.00	0.00
		0.00	0.00	0.00
	ISI	0.00	0.00	0.00
		0.00	0.00	0.00
	RDP (ISI)	0.00	0.00	0.00
		0.00	0.00	0.00
	RDP (OTHERS)	0.00	0.00	0.00
		0.00	0.00	0.00
		-----	-----	-----
	SETTLED SUB-TOTAL	25,000.00	1,000.00-	24,000.00
		0.00	0.00	0.00
		-----	-----	-----
	SETTLED TOTAL	25,000.00	1,000.00-	24,000.00
CAN/PUR/RVK POSITIONS:	CNS	0.00	0.00	0.00
		0.00	0.00	0.00
	IT & SI	0.00	0.00	0.00
		0.00	0.00	0.00
	ISI	0.00	0.00	0.00
		0.00	0.00	0.00
	RDP (ISI)	0.00	0.00	0.00
		0.00	0.00	0.00
	RDP (OTHERS)	0.00	0.00	0.00
		0.00	0.00	0.00
		-----	-----	-----
	CAN/PUR/RVK SUB-TOTAL	0.00	0.00	0.00
		0.00	0.00	0.00
		-----	-----	-----
	CAN/PUR/RVK TOTAL	0.00	0.00	0.00

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(7)SUMMARY OF MONEY POSITIONS: SETTLEMENT CURRENCY - CNY

=====		(25)	(26)	(27)
		AMT RECEIVABLE / ACCRUED INTEREST	AMT PAYABLE / ACCRUED INTEREST	NET AMT RCVBL/PAYBL / NET ACCRUED INTEREST
		-----	-----	-----
UNSETTLED POSITIONS:	CNS	0.00	9,600.00-	9,600.00-
		0.00	0.00	0.00
	IT & SI	0.00	0.00	0.00
		0.00	0.00	0.00
	ISI	0.00	0.00	0.00
		0.00	0.00	0.00
	RDP (ISI)	0.00	0.00	0.00
		0.00	0.00	0.00
	RDP (OTHERS)	0.00	0.00	0.00
		0.00	0.00	0.00
	UNSETTLED SUB-TOTAL	0.00	9,600.00-	9,600.00-
		0.00	0.00	0.00
	UNSETTLED TOTAL	0.00	9,600.00-	9,600.00-

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