

SECTION 4.3
 REPORT SAMPLE 4.3.13: INTRA-DAY ISI / SI FULL LIST

(1) CSESI02 (2) B03456
 (3) CCASS COMPANY

HKSCC - CCASS
 INTRA-DAY ISI/SI FULL LIST (5)
 (21) (MARKET - SHANGHAI MARKET)

(4) RUN DATE : 08DEC14
 RUN TIME : 19:35:00
 PAGE : 1

(6) DATE : 08DEC14

(7) PENDING SI
 =====

(8) STM DATE	(9) COUNTERPARTY ID & NAME STOCK CODE & NAME/ISIN	(10) (23) INS TYP/PMT INS PROCESSING REF	(11) INPUT NO/	(12) STM A/C	(13) STM QUANTITY	(14) (19) MNY OBLIGATION/ SI LINK REF	(15) (18) CCY/ PURP/ DI/INT REF /HOLD (22)	(16) CLIENT A/C NO/ CLIENT NAME
08DEC14	B01257 SIMPSON & CO 92820 C&P LTD	R F	I08546100	2	1,000	0.00 SI LINKAGE REF	CNY C Y 56869 C/N15685 D WONG N	
THIS IS PROCESSING REF								
08DEC14	B01555 THOMPSON & CO 90112 FAR WISH BANK ISIN111111112	R F	I08689889	7	5,000	0.00	CNY C N 5644121 C4757574 K DELL Y	
08DEC14	B01345 TRILLION LT 90077 CN WATCH	D F	I45545781	1	11,000-	0.00	CNY C N C/X45455 Y	

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(4) RUN DATE : 08DEC14
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(7) UNMATCHED SI

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(8)	(9)	(10) (23)	(11)	(12)	(13)	(14) (19)	(18) (15)	(16)	(24)
STM	COUNTERPARTY ID & NAME	INS TYP/PMT INS	INPUT NO/	STM A/C	STM QUANTITY	MNY OBLIGATION/ SI LINK REF	CCY/ PURP/ DI/INT REF	CLIENT A/C NO/ CLIENT NAME	SD DVP SI
DATE	STOCK CODE & NAME/ISIN	PROCESSING REF					/HOLD(22)		
08DEC14	B00102 BILLION INC 90156 CHINA RES ISIN111111110	R D THIS IS PROCESSING REF	I03254465	2	2,000	1,000.00- SI LINKAGE REF	CNY C Y A/B45557 N	5951 A ALBERTA	Y
08DEC14	B01233 RENAISSANCE INC 92817 I.G GROUP	D D	I05789811	9	11,000-	1,000.00 N	CNY C N G/G44545	02365 C MONTREAL	N
08DEC14	B51234 I T LTD 90182 CHINA ENERGY	R F	I00105569	1	5,000	0.00	CNY C Y N/N04559 Y	91001 E NELSON	

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(4) RUN DATE : 08DEC14
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(7) MATCHED SI

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(8)	(9)	(10) (23)	(11)	(12)	(13) (19)	(14) (20)	(18) (15)	(16)	(24)
STM	COUNTERPARTY ID & NAME	INS TYP/PMT INS	INPUT NO/	STM A/C	STM QUANTITY	MNY OBLIGATION/	CCY/ PURP/	CLIENT A/C NO/	SD
DATE	STOCK CODE & NAME/ISIN	PROCESSING REF	STM POS NO		SI LINK REF	ACTUAL STM AMOUNT	DI/INT REF	CLIENT NAME	DVP
							/HOLD(22)	CPTY CLIENT A/C	SI
08DEC14	B00102 BILLION INC 90112 FAR WISH BANK HK0000000012	D D	I00655464 P40001286	1	5,000- SI LINK REF 001	1,000.00	CNY C Y	94541 A AU	Y
			THIS IS PROCESSING REF				N		
08DEC14	B01233 RENAISSANCE INC 90159 NAM WAH GROUP	D F	I05789811 P40002722	1	10,000-	0.00	CNY C N	44545 L VOTTON	
							N		
08DEC14	B01233 RENAISSANCE INC 90112 FAR WISH BANK	D D	I05789811 P40003567	2	25,000-	1,000.00	CNY C N	45787 G/F56565 P HERMES	N
							N		
08DEC14	B01345 TRILLION LTD 90185 LOYAL LIGHT	R D	I00000764 P00000760	1	8,000	1,000.00-	CNY C N	45656 G/A00032 D GABBIAN	N
							N		

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(4) RUN DATE : 08DEC14
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(6) DATE : 08DEC14

(7) MATCHED ON-HOLD SI

(8)	(9)	(10) (23)	(11)	(12)	(13) (19)	(14) (20)	(18) (15)	(16)	(24)
STM	COUNTERPARTY ID & NAME	INS TYP/PMT INS	INPUT NO/	STM A/C	STM QUANTITY	MNY OBLIGATION/	CCY/ PURP/	CLIENT A/C NO/	SD
DATE	STOCK CODE & NAME/ISIN	PROCESSING REF	STM POS NO		SI LINK REF	ACTUAL STM AMOUNT	DI/INT REF	CLIENT NAME	DVP
							/HOLD(22)	CPTY CLIENT A/C	SI
08DEC14	B00102 BILLION INC 90112 FAR WISH BANK HK0000000012	D D	I00655464 P40001286	1	5,000- SI LINK REF 001	2,000.00	CNY C Y	94541 A AU	Y
		THIS IS PROCESSING REF					Y		
08DEC14	B01233 RENAISSANCE INC 90159 NAM WAH GROUP	D D	I05789811 P40002722	1	10,000-	5,000.00	CNY C Y	44545 L VOTTON	N
							Y		
08DEC14	B01233 RENAISSANCE INC 90112 FAR WISH BANK	D F	I05789811 P40003567	2	25,000-	0.00	CNY C Y	45787 G/F56565 P HERMES	
							Y		
08DEC14	B01345 TRILLION LTD 90185 LOYAL LIGHT	R F	I00000764 P00000760	1	8,000	0.00	CNY C Y	45656 G/A00032 D GABBIAN	
							Y		

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(4) RUN DATE : 08DEC14
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(6) DATE : 08DEC14

(7) MATCHED ON-HOLD (C/P) SI

(8)	(9)	(10) (23)	(11)	(12)	(13) (19)	(14) (20)	(18) (15)	(16)	(24)
STM	COUNTERPARTY ID & NAME	INS TYP/PMT INS	INPUT NO/	STM A/C	STM QUANTITY	MNY OBLIGATION/	CCY/ PURP/	CLIENT A/C NO/	SD
DATE	STOCK CODE & NAME/ISIN	PROCESSING REF	STM POS NO		SI LINK REF	ACTUAL STM AMOUNT	DI/INT REF	CLIENT NAME	DVP
							/HOLD(22)	CPTY CLIENT A/C	SI
08DEC14	B00102 BILLION INC 90112 FAR WISH BANK HK0000000012	D D THIS IS PROCESSING REF	I00655464 P40001286	1	5,000- SI LINK REF 001	5,000.00	CNY C Y	94541 A AU	Y
08DEC14	B01233 RENAISSANCE INC 90159 NAM WAH GROUP	D F	I05789811 P40002722	1	10,000-	0.00	CNY C Y	44545 L LEE	N
08DEC14	B01233 RENAISSANCE INC 92820 C&P GROUP	D D	I05789811 P40003567	2	25,000-	10,000.00	CNY C Y	45787 G/F56565 P HERMES	N
08DEC14	B01345 TRILLION LTD 90185 LOYAL LIGHT	R F	I00000764 P00000760	1	8,000	0.00	CNY C Y	45656 G/A00032 D GABBIAN	N

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 (21) (MARKET - SHANGHAI MARKET)

(4) RUN DATE : 08DEC14
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(6) DATE : 08DEC14

(7) REVOKED SI
 =====

(8)	(9)	(10) (23)	(11)	(12)	(13) (19)	(14) (20)	(18) (15)	(16)	(24)
STM	COUNTERPARTY ID & NAME	INS TYP/PMT INS	INPUT NO/	STM A/C	STM QUANTITY	MNY OBLIGATION/	CCY/ PURP/	CLIENT A/C NO/	SD
DATE	STOCK CODE & NAME/ISIN	PROCESSING REF	STM POS NO		SI LINK REF	ACTUAL STM AMOUNT	DI/INT REF	CLIENT NAME	DVP
							/HOLD(22)	CPTY CLIENT A/C	SI
08DEC14	B89213 THOMPSON & CO 90185 LOYAL LIGHT	R D	*I00546878 P40000001	1	5,000 SI LINK REF 002	500.00-	CNY C Y	911665 F CHAN	Y
		THIS IS PROCESSING REF					N		

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(4) RUN DATE : 08DEC14
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(7) REVOKED (C/P) SI

(8)	(9)	(10) (23)	(11)	(12)	(13) (19)	(14) (20)	(18) (15)	(16)	(24)
STM	COUNTERPARTY ID & NAME	INS TYP/PMT INS	INPUT NO/	STM A/C	STM QUANTITY	MNY OBLIGATION/	CCY/ PURP/	CLIENT A/C NO/	SD
DATE	STOCK CODE & NAME/ISIN	PROCESSING REF	STM POS NO		SI LINK REF	ACTUAL STM AMOUNT	DI/INT REF	CLIENT NAME	DVP
							/HOLD (22)	CPTY CLIENT A/C	SI
08DEC14	C71873 BILLION N LTD 90156 CHINA RES	D D	I00060126 P40000065	1	2,000- SI LINKAGE 333	2,000.00	CNY C Y	987 K WONG	Y
		THIS IS PROCESSING REF					N		

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(6) DATE : 08DEC14

(7) RDP SHARES ON-HOLD SI

(8)	(9)	(10) (23)	(11)	(12)	(13) (19)	(14) (20)	(18) (15)	(16)	(24)
STM	COUNTERPARTY ID & NAME	INS TYP/PMT INS	DEAL CODE	INPUT NO/	STM A/C	STM QUANTITY	MNY OBLIGATION/	CCY/ PURP/ CLIENT A/C NO/	SD
DATE	STOCK CODE & NAME/ISIN	PROCESSING REF	STM POS NO	SI LINK REF	SI LINK REF	ACTUAL STM AMOUNT	DI/INT REF	CLIENT NAME/	DVP
							/HOLD	CPTY CLIENT A/C	SI
08DEC14	B02120 CONCORD PACIFIC	R R	I00002402	1	1,000	1,000.00-	CNY C Y	D1626625	
	90112 FAR WISH BANK	4005091	P40005091		SI LINK REF Q		KD12455		
		THIS IS PROCESSING REF					N		

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(4) RUN DATE : 08DEC14
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(7) PAYMENT VALIDATED SI

(8)	(9)	(10) (23)	(11)	(12)	(13) (19)	(14) (20)	(18) (15)	(16)	(24)	
STM	COUNTERPARTY ID & NAME	INS TYP/PMT INS	DEAL CODE	INPUT NO/ STM POS NO	STM A/C	STM QUANTITY SI LINK REF	MNY OBLIGATION/ ACTUAL STM AMOUNT	CCY/ PURP/ DI/INT REF	CLIENT A/C NO/ CLIENT NAME CPTY CLIENT A/C	SD DVP SI
08DEC14	B02120 CONCORD PACIFIC 90112 FAR WISH BANK	D R	I00002405 4005094	I00002405 P40005094	1	1,000- SI LINK REF Q	1,000.00	CNY C Y KD12455 N	D1626625	
THIS IS PROCESSING REF										

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(7) SETTLED SI
 =====

(8)	(9)	(10) (23)	(11)	(12)	(13) (19)	(14) (20)	(18) (15)	(16)	(24)	
STM	COUNTERPARTY ID & NAME	INS TYP/PMT INS	DEAL CODE	INPUT NO/	STM A/C	STM QUANTITY	MNY OBLIGATION/	CCY/ PURP/	CLIENT A/C NO/	SD
DATE	STOCK CODE & NAME/ISIN	PROCESSING REF		STM POS NO		SI LINK REF	ACTUAL STM AMOUNT	INT REF	CLIENT NAME	DVP
									CPTY CLIENT A/C	SI
08DEC14	B02120 CONCORD PACIFIC 90112 FAR WISH BANK	D D 4005090	I00002401 P40005090		1	1,000- SI LINK REF Q	1,000.00	CNY C KD12454	D1626625	Y
08DEC14	B02120 CONCORD PACIFIC 90182 CHINA ENERGY	D F 4001290	I00241501 P40001290		1	1,000-	0.00	CNY C BJ45454	16266557 K CHENG	
08DEC14	B02188 WILLARD I INC 90185 LOYAL LIGHT	R D	I00001623 P40000566		1	10,000	10,000.00-	CNY C	45475454 P MORRIS	N
08DEC14	C21355 WORLDWIDE N LTD. 90112 FAR WISH BANK	R F	I00002656 P40000012		1	10,000	0.00	CNY C	45475455	

THIS IS PROCESSING REF

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(7) SUMMARY OF POSITION TOTAL
 =====

SETTLEMENT CURRENCY : CNY

	(17) LONG DVP POSITION TOTAL	(17) SHORT DVP POSITION TOTAL	(17) LONG RDP POSITION TOTAL	(17) SHORT RDP POSITION TOTAL
	-----	-----	-----	-----
PENDING SI	0.00	0.00	0.00	0.00
UNMATCHED SI	1,000.00-	1,000.00	0.00	0.00
MATCHED SI	1,000.00-	2,000.00	0.00	0.00
MATCHED ON-HOLD SI	0.00	7,000.00	0.00	0.00
MATCHED ON-HOLD (C/P) SI	0.00	15,000.00	0.00	0.00
REVOKED SI	500.00-	0.00	0.00	0.00
REVOKED (C/P) SI	0.00	2,000.00	0.00	0.00
RDP SHARES ON-HOLD SI	0.00	0.00	1,000.00-	0.00
PAYMENT VALIDATED SI	0.00	0.00	0.00	1,000.00
SETTLED SI	10,000.00-	1,000.00	0.00	0.00

END OF REPORT