

SECTION 4.3

REPORT SAMPLE 4.3.16 MARKS AND COLLATERAL COLLECTION REPORT

(1)CFIPM01 (2)B11668		HKSCC - CCASS				(4) RUN DATE : 03AUG12	
(3)GOODWILL & COMPANY		MARKS AND COLLATERAL COLLECTION REPORT				(5) RUN TIME : 19:31:55	
(6) DATE : 03AUG12						PAGE : 1	
(8)/(9)		(13)/(14)		(15)	(16)	(17)	
(10)/(11)/(12)		QUANTITY / MKT		MARKET VALUE	POSITION AMOUNT	MARKS AMOUNT	
(7)STM DATE	ISIN / MKT / STM POS NUM	PRICE (BASE CCY)		(BASE CCY)	(BASE CCY)	(BASE CCY)	
06AUG12	8100 ABC 8100 (CNY) # BMG5329L1256 HKMK P41073991	1,000,000- 5.00000		5,000,000.00-	4,500,000.00	500,000.00-	
	(18)NET MARKS (PENDING			POS DUE FOR SETTLEMENT ON 06AUG12)		: CNY 500,000.00-	
07AUG12	8101 ABC 8101 (CNY) HK0190007903 HKMK	6,500,000 6.50000		42,250,000.00	43,000,000.00-	750,000.00-	
	(18)NET MARKS (PENDING			POS DUE FOR SETTLEMENT ON 07AUG12)		: CNY 750,000.00-	
	(19)NET MARKS (PENDING POS) BEFORE CROSS CURRENCY NETTING					: CNY 1,250,000.00-	
	(20)NET MARKS (PENDING POS) AFTER CROSS CURRENCY NETTING@					: CNY 0.00	
	(21)CREDIT LIMIT APPLIED@@					: CNY 0.00	
	(22)MARKS REQUIREMENT (PENDING POS)					: CNY 0.00	
06AUG12	8200 CDE 8200 (HKD) HK0200005566 HKMK P41073800	2,000,000- 10.00000		20,000,000.00-	22,000,000.00	2,000,000.00	
	(18)NET MARKS (PENDING			POS DUE FOR SETTLEMENT ON 06AUG12)		: HKD 2,000,000.00	
07AUG12	8201 CDE 8201 (HKD) HK0200004322 HKMK	3,000,000- 2.00000		6,000,000.00-	5,800,000.00	200,000.00-	
	(18)NET MARKS (PENDING			POS DUE FOR SETTLEMENT ON 07AUG12)		: HKD 200,000.00-	
	(19)NET MARKS (PENDING POS) BEFORE CROSS CURRENCY NETTING					: HKD 1,800,000.00	
	(20)NET MARKS (PENDING POS) AFTER CROSS CURRENCY NETTING@					: HKD 0.00	
	(21)CREDIT LIMIT APPLIED@@					: HKD 0.00	
	(22)MARKS REQUIREMENT (PENDING POS)					: HKD 0.00	
06AUG12	8300 XYZ 8300 (USD) # BMG5330L1234 HKMK P41073995	500,000 4.20000		2,100,000.00	2,160,000.00-	60,000.00-	
	(18)NET MARKS (PENDING			POS DUE FOR SETTLEMENT ON DDMMYY)		: USD 60,000.00-	

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(6)DATE : 03AUG12					PAGE : 2	
(8)/(9)						
(10)/(11)/(12)		(13)/(14)		(15)	(16)	(17)
(7)STM DATE	STOCK / CURRENCY	QUANTITY / MKT	MARKET VALUE	POSITION AMOUNT	MARKS AMOUNT	
ISIN / MKT / STM POS NUM	PRICE (BASE CCY)	(BASE CCY)	(BASE CCY)	(BASE CCY)	(BASE CCY)	
07AUG12	8301 XYZ 8301 (USD)	8,000,000	8,000,000.00	1,000,000.00	9,000,000.00 ^	
	BMG5332L1221 HKMK	1.00000				
	(18)NET MARKS (PENDING POS DUE FOR SETTLEMENT ON 07AUG12)			: USD	0.00	
	(19)NET MARKS (PENDING POS) BEFORE CROSS CURRENCY NETTING			: USD	60,000.00-	
	(20)NET MARKS (PENDING POS) AFTER CROSS CURRENCY NETTING@			: USD	23,643.32-	
	(21)CREDIT LIMIT APPLIED@			: USD	10,000.00-	
	(22)MARKS REQUIREMENT (PENDING POS)			: USD	13,643.32-	
03AUG12	8100 ABC 8100 (CNY)	200,000	400,000.00	410,000.00-	10,000.00-	
	BMG5329L1256 HKMK P41061111	2.00000				
	(23)NET MARKS (DUE / OVERDUE POS DUE FOR SETTLEMENT ON 03AUG12)			: CNY	10,000.00-	
	(24)NET MARKS (DUE / OVERDUE POS) BEFORE CROSS CURRENCY NETTING			: CNY	10,000.00-	
	(25)NET MARKS (DUE / OVERDUE POS) AFTER CROSS CURRENCY NETTING@			: CNY	3,596.53-	
	(26)MARKS REQUIREMENT (DUE / OVERDUE POS)			: CNY	3,596.53-	
03AUG12	8202 CDE 8202 (HKD)	100,000-	500,000.00-	300,000.00	200,000.00-	
	HK01245L1565 HKMK P41061123	5.00000				
	(23)NET MARKS (DUE / OVERDUE POS DUE FOR SETTLEMENT ON 03AUG12)			: HKD	200,000.00-	
	(24)NET MARKS (DUE / OVERDUE POS) BEFORE CROSS CURRENCY NETTING			: HKD	200,000.00-	
	(25)NET MARKS (DUE / OVERDUE POS) AFTER CROSS CURRENCY NETTING@			: HKD	200,000.00-	
	(26)MARKS REQUIREMENT (DUE / OVERDUE POS)			: HKD	200,000.00-	
03AUG12	8302 XYZ 8302 (USD)	10,000-	8,000.00-	9,000.00	1,000.00	
	BMG5336L1712 HKMK P41061152	0.80000				
	(23)NET MARKS (DUE / OVERDUE POS DUE FOR SETTLEMENT ON DDMMYY)			: USD	1,000.00	
	(24)NET MARKS (DUE / OVERDUE POS) BEFORE CROSS CURRENCY NETTING			: USD	1,000.00	
	(25)NET MARKS (DUE / OVERDUE POS) AFTER CROSS CURRENCY NETTING@			: USD	0.00	
	(26)MARKS REQUIREMENT (DUE / OVERDUE POS)			: USD	0.00	

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(1) CFIPM01 (2) B11668
 (3) GOODWILL & COMPANY

HKSCC - CCASS
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(4) RUN DATE : 03AUG12
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(27) LIQUID CAPITAL (HKD) :	10,000,000.00	(29)		(30)	
(28) CONC COLLATERAL THRESHOLD (HKD) :	5,000,000.00	CONC COLLATERAL THRESHOLD %:	200.00	MARKET VOLATILITY %:	10
	(32) / (33)		(34)		(35)
(31)	CCY / CNS NET LONG		MARKS AMOUNT		CONC COLLATERAL
STOCK / ISIN CODE	POS AMT (BASE CCY)		(BASE CCY)		REQUIRED (BASE CCY)
-----	-----		-----		-----
8101 ABC 8101 HK0190007903	CNY 43,000,000.00-		750,000.00-		4,300,000.00-
	(36) CONCENTRATION COLLATERAL (CNS NET LONG POS)		: CNY		4,300,000.00-
8300 XYZ 8300 BMG5330L1234	USD 2,160,000.00-		60,000.00-		216,000.00-
	(36) CONCENTRATION COLLATERAL (CNS NET LONG POS)		: USD		216,000.00-
	(37) CONCENTRATION COLLATERAL REQUIREMENT		: CNY		4,300,000.00
			: USD		216,000.00
(38) TOTAL MARKS AND COLLATERAL REQUIREMENT INCLUDING EOT			: CNY		4,303,596.53
			: HKD		200,000.00
			: USD		229,643.32
(39) TOTAL MARKS AND COLLATERAL REQUIREMENT WITHOUT EOT			: CNY		4,000,000.00
			: HKD		50,000.00
			: USD		150,000.00
(40) ADDITIONAL MARKS AND COLLATERAL REQUIREMENT DUE TO EOT			: CNY		303,596.53
			: HKD		150,000.00
			: USD		79,643.32

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MARKS AND COLLATERAL SHORTFALL

(41)MARKS AND COLLATERAL SHORTFALL IN RESPECTIVE CURRENCY**	: CNY	3,500,000.00
	: HKD	10,000.00
	: USD	150,000.00
(42)MARKS AND COLLATERAL SHORTFALL TO BE COLLECTED BY HKSCC VIA DDI	: CNY	0.00
	: HKD	5,427,850.00
	: USD	0.00
(43)ADDITIONAL MARKS AND COLLATERAL DUE TO EOT TO BE COLLECTED BY SEOCH	: CNY	303,596.53
	: HKD	150,000.00
	: USD	79,643.32

(44)TOTAL NO OF RECORD(S) : 11

REMARKS:

- ^ ABNORMAL POSITION WILL BE EXCLUDED FROM MARKS CALCULATION.
- # THE POSITION IS FULLY OR PARTIALLY COVERED BY SPECIFIC CASH / STOCK COLLATERAL.
- @ NET FAVOURABLE MARKS IN ONE CURRENCY WILL OFFSET NET UNFAVOURABLE MARKS IN OTHER CURRENCIES. THE ORDER OF USAGE AND COVERAGE OF MARKS IN DIFFERENT CURRENCIES WILL BE ACCORDING TO THE ALPHABETICAL ORDER OF THE CURRENCY.
- @@ CREDIT LIMIT IS APPLIED, IF APPLICABLE, PRO RATA TO THE PENDING MARKS OF ALL CURRENCIES IN HKD EQUIVALENCE AFTER CROSS CURRENCY NETTING.
- ** PLEASE REFER TO "POSTING / COLLATERALISATION RESULT REPORT" (CCMPY02) FOR THE DETAILS OF COLLATERALISATION.

NOTES:

1. WHEN THERE IS NO ADDITIONAL MARKS AND COLLATERAL REQUIREMENT DUE TO EOT, MARKS AND COLLATERAL REQUIREMENT INCLUDING EOT WILL BE PASSED TO CCMS FOR COLLATERALISATION AND THE SHORTFALL THEREOF WILL BE COLLECTED BY HKSCC VIA DDI.
2. FOR CLEARING PARTICIPANTS HAVING A DESIGNATED SEOCH PARTICIPANT SETUP IN CCMS, ADDITIONAL MARKS AND COLLATERAL REQUIREMENT DUE TO EOT WILL BE COLLECTED BY SEOCH. FOR OTHERS, ALL MARKS AND COLLATERAL REQUIREMENT INCLUDING EOT WILL BE COLLECTED BY HKSCC VIA DDI.

DDI: DIRECT DEBIT INSTRUCTION

EOT: EXERCISED OPTIONS TRADES

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COVERED POSITIONS INFORMATION :

COVERED BY SPECIFIC CASH COLLATERAL (SCC)				(49)	(50)	(55)
(45)	(46)	(47)	(48)	ORIGINAL	QUANTITY	QUANTITY
STM DATE	STOCK / ISIN CODE / CURRENCY		STM POS NUMBER	POSITION QUANTITY	COVERED BY SCC	OBLIGED TO MTM
06AUG12	8300 XYZ 8300	BMG5330L1234(USD)	P41073995	1,500,000-	1,000,000	500,000-

COVERED BY SPECIFIC STOCK COLLATERAL (SSC)				(49)	(50)	(55)
(45)	(46)	(47)	(48)	ORIGINAL	QUANTITY	QUANTITY
STM DATE	STOCK / ISIN CODE / CURRENCY		STM POS NUMBER	POSITION QUANTITY	COVERED BY SSC	OBLIGED TO MTM
06AUG12	8100 ABC 8100	BMG5329L1256(CNY)	P41073991	3,000,000-	2,000,000	1,000,000-

SUMMARY OF MARKS ON PENDING AND DUE / OVERDUE POSITIONS BY MARKET :

(56)	(57)	(58)	(59)
MARKET	NET MARKS PENDING POS	NET MARKS DUE/OVERDUE POS	NET MARKS PENDING & DUE/OVERDUE POS
HKMK	CNY 0.00	CNY 3,596.53-	CNY 3,596.53-
	HKD 0.00	HKD 200,000.00-	HKD 200,000.00-
	USD 13,643.32-	USD 0.00	USD 13,643.32-
TOTAL	CNY 0.00	CNY 3,596.53-	CNY 3,596.53-
	HKD 0.00	HKD 200,000.00-	HKD 200,000.00-
	USD 13,643.32-	USD 0.00	USD 13,643.32-

(60)EXCHANGE RATE INFORMATION :

CNY 1 = HKD 1.2120000000 HKD 1 = HKD 1.0000000000 USD 1 = HKD 7.8390000000

*** END OF REPORT ***