

SECTION 4.3

REPORT SAMPLE 4.3.17 INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT

(1) CRMIM01 (2) B11668		HKSCC - CCASS		(4) RUN DATE : 03AUG12	
(3) GOODWILL & COMPANY		INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT		(5) RUN TIME : 11:15:55	
				PAGE : 1	
(6) DATE : 03AUG12		(7) SNAPSHOT TIME: 11:00:00			
(9)/(10)		(14)/(15)		(18)	
(11)/(12)/(13)		(16)		(17)	
(8) 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)
06AUG12	8100 ABC 8100 (CNY) #	1,000,000- 5.00000	5,000,000.00-	4,500,000.00	500,000.00-
	BMG5329L1256 HKMK P41073991				
	(19) NET MARKS (PENDING	POS DUE FOR SETTLEMENT ON 06AUG12)	: CNY	500,000.00-	
07AUG12	8101 ABC 8101 (CNY)	6,500,000 6.50000	42,250,000.00	43,000,000.00-	750,000.00-
	HK0190007903 HKMK				
	(19) NET MARKS (PENDING	POS DUE FOR SETTLEMENT ON 07AUG12)	: CNY	750,000.00-	
	(20) NET MARKS (PENDING POS) BEFORE CROSS CURRENCY NETTING		: CNY	1,250,000.00-	
	(21) NET MARKS (PENDING POS) AFTER CROSS CURRENCY NETTING@		: CNY	0.00	
	(22) CREDIT LIMIT APPLIED@@		: CNY	0.00	
	(23) MARKS REQUIREMENT (PENDING POS)		: CNY	0.00	
06AUG12	8200 CDE 8200 (HKD)	2,000,000- 10.00000	20,000,000.00-	22,000,000.00	2,000,000.00
	HK0200005566 HKMK P41073800				
	(19) NET MARKS (PENDING	POS DUE FOR SETTLEMENT ON 06AUG12)	: HKD	2,000,000.00	
07AUG12	8201 CDE 8201 (HKD)	3,000,000- 2.00000	6,000,000.00-	5,800,000.00	200,000.00-
	HK0200004322 HKMK				
	(19) NET MARKS (PENDING	POS DUE FOR SETTLEMENT ON 07AUG12)	: HKD	200,000.00-	
	(20) NET MARKS (PENDING POS) BEFORE CROSS CURRENCY NETTING		: HKD	1,800,000.00	
	(21) NET MARKS (PENDING POS) AFTER CROSS CURRENCY NETTING@		: HKD	0.00	
	(22) CREDIT LIMIT APPLIED@@		: HKD	0.00	
	(23) MARKS REQUIREMENT (PENDING POS)		: HKD	0.00	
06AUG12	8300 XYZ 8300 (USD) #	500,000 4.20000	2,100,000.00	2,160,000.00-	60,000.00-
	BMG5330L1234 HKMK P41073995				
	(19) NET MARKS (PENDING	POS DUE FOR SETTLEMENT ON DDMMYY)	: USD	60,000.00-	

SECTION 4.3

REPORT SAMPLE 4.3.17 INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT

(1) CRMIM01 (2) B11668		HKSCC - CCASS			(4) RUN DATE : 03AUG12		
(3) GOODWILL & COMPANY		INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT			(5) RUN TIME : 11:15:55		
					PAGE : 2		
(6) DATE : 03AUG12		(7) SNAPSHOT TIME: 11:00:00					
		(9) / (10)					
(11) / (12) / (13)		(14) / (15)		(16)	(17)	(18)	
STOCK / CURRENCY		QUANTITY / MKT		MARKET VALUE	POSITION AMOUNT	MARKS AMOUNT	
(8) STM DATE	ISIN / MKT / STM POS NUM	PRICE (BASE CCY)		(BASE CCY)	(BASE CCY)	(BASE CCY)	
07AUG12	8301 XYZ 8301 BMG5332L1221 HKMK	(USD) 1.00000	8,000,000	8,000,000.00	1,000,000.00	9,000,000.00 ^	
		(19) NET MARKS (PENDING POS DUE FOR SETTLEMENT ON 07AUG12)		: USD		0.00	
		(20) NET MARKS (PENDING POS) BEFORE CROSS CURRENCY NETTING		: USD		60,000.00-	
		(21) NET MARKS (PENDING POS) AFTER CROSS CURRENCY NETTING@		: USD		23,643.32-	
		(22) CREDIT LIMIT APPLIED@		: USD		10,000.00-	
		(23) MARKS REQUIREMENT (PENDING POS)		: USD		13,643.32-	
03AUG12	8100 ABC 8100 BMG5329L1256 HKMK P41061111	(CNY) 2.00000	200,000	400,000.00	410,000.00-	10,000.00-	
		(24) NET MARKS (DUE / OVERDUE POS DUE FOR SETTLEMENT ON 03AUG12)		: CNY		10,000.00-	
		(25) NET MARKS (DUE / OVERDUE POS)		: CNY		10,000.00-	
03AUG12	8102 ABC 8102 BMG5331L1197 HKMK P41065647	(CNY) 6.00000	100,000	600,000.00	650,000.00-	50,000.00-	
		(26) NET MARKS (TOTAL ALLOCATED POS)		: CNY		50,000.00-	
		(27) TOTAL ALLOCATED POS		: CNY		100,000.00	
		(28) UNCOVERED ALLOCATED POS		: CNY		50,000.00	
		(29) NET MARKS (UNCOVERED ALLOCATED POS)		: CNY		25,000.00-	
		(30) NET MARKS (DUE/OVERDUE & UNCOVERED ALLOCATED POS) BEFORE CROSS CURRENCY NETTING		: CNY		35,000.00-	
		(31) NET MARKS (DUE/OVERDUE & UNCOVERED ALLOCATED POS) AFTER CROSS CURRENCY NETTING@		: CNY		15,789.60-	
		(32) MARKS REQUIREMENT (DUE/OVERDUE & UNCOVERED ALLOCATED POS)		: CNY		15,789.60-	
03AUG12	8202 CDE 8202 HK01245L1565 HKMK P41061123	(HKD) 5.00000	100,000-	500,000.00-	300,000.00	200,000.00-	
		(24) NET MARKS (DUE / OVERDUE POS DUE FOR SETTLEMENT ON 03AUG12)		: HKD		200,000.00-	

SECTION 4.3

REPORT SAMPLE 4.3.17 INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT

(1)CRMIM01 (2)B11668		HKSCC - CCASS		(4) RUN DATE : 03AUG12	
(3)GOODWILL & COMPANY		INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT		(5) RUN TIME : 11:15:55	
				PAGE : 3	
(6)DATE : 03AUG12		(7)SNAPSHOT TIME: 11:00:00			
(9)/(10)		(14)/(15)		(18)	
(11)/(12)/(13)		(16)		(17)	
STOCK / CURRENCY		QUANTITY / MKT		POSITION AMOUNT	
(8)STM DATE	ISIN / MKT / STM POS NUM	PRICE (BASE CCY)	MARKET VALUE (BASE CCY)	(BASE CCY)	MARKS AMOUNT (BASE CCY)
(25)NET MARKS (DUE / OVERDUE POS)				: HKD	200,000.00-
03AUG12	8203 CDE 8203 (HKD)	200,000	1,000,000.00	900,000.00-	100,000.00
	HK01276L1281 HKMK P41061145	5.00000			
(26)NET MARKS (TOTAL ALLOCATED POS)				: HKD	100,000.00
(27)TOTAL ALLOCATED POS				: HKD	200,000.00
(28)UNCOVERED ALLOCATED POS				: HKD	100,000.00
(29)NET MARKS (UNCOVERED ALLOCATED POS)				: HKD	50,000.00
(30)NET MARKS (DUE/OVERDUE & UNCOVERED ALLOCATED POS) BEFORE CROSS CURRENCY NETTING				: HKD	150,000.00-
(31)NET MARKS (DUE/OVERDUE & UNCOVERED ALLOCATED POS) AFTER CROSS CURRENCY NETTING@				: HKD	150,000.00-
(32)MARKS REQUIREMENT (DUE/OVERDUE & UNCOVERED ALLOCATED POS)				: HKD	150,000.00-
03AUG12	8302 XYZ 8302 (USD)	10,000-	8,000.00-	9,000.00	1,000.00
	BMG5336L1712 HKMK P41061152	0.80000			
(24)NET MARKS (DUE / OVERDUE POS DUE FOR SETTLEMENT ON DDMMYY)				: USD	1,000.00
(25)NET MARKS (DUE / OVERDUE POS)				: USD	1,000.00
03AUG12	8303 XYZ 8303 (USD)	100,000	100,000.00	98,000.00-	2,000.00
	BMG6123L1801 HKMK P41061177	1.00000			
(26)NET MARKS (TOTAL ALLOCATED POS)				: USD	2,000.00
(27)TOTAL ALLOCATED POS				: USD	200,000.00
(28)UNCOVERED ALLOCATED POS				: USD	200,000.00
(29)NET MARKS (UNCOVERED ALLOCATED POS)				: USD	2,000.00
(30)NET MARKS (DUE/OVERDUE & UNCOVERED ALLOCATED POS) BEFORE CROSS CURRENCY NETTING				: USD	3,000.00
(31)NET MARKS (DUE/OVERDUE & UNCOVERED ALLOCATED POS) AFTER CROSS CURRENCY NETTING@				: USD	0.00
(32)MARKS REQUIREMENT (DUE/OVERDUE & UNCOVERED ALLOCATED POS)				: USD	0.00

SECTION 4.3

REPORT SAMPLE 4.3.17 INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT

(1) CRMIM01 (2) B11668
 (3) GOODWILL & COMPANY

HKSCC - CCASS
 INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT

(4) RUN DATE : 03AUG12
 (5) RUN TIME : 11:15:55
 PAGE : 4

(6) DATE : 03AUG12 (7) SNAPSHOT TIME: 11:00:00

(33) LIQUID CAPITAL (HKD) : 10,000,000.00 (35) (36)
 (34) CONC COLLATERAL THRESHOLD (HKD) : 5,000,000.00 CONC COLLATERAL THRESHOLD %: 200.00 MARKET VOLATILITY %: 10
 (38) / (39) (40) (41)

(37) STOCK / ISIN CODE	CCY / CNS NET LONG POS AMT (BASE CCY)	MARKS AMOUNT (BASE CCY)	CONC COLLATERAL REQUIRED (BASE CCY)
8101 ABC 8101 HK0190007903	CNY 43,000,000.00-	750,000.00-	4,300,000.00-

(42) 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-
----------------------------	-------------------	------------	-------------

(42) CONCENTRATION COLLATERAL (CNS NET LONG POS) : USD 216,000.00-

(43) CONCENTRATION COLLATERAL REQUIREMENT : CNY 4,300,000.00

: USD 216,000.00

(44) TOTAL MARKS AND COLLATERAL REQUIREMENT BEFORE OFFSET COLLATERAL IN CCMS ACCOUNT : CNY 4,315,789.60

: HKD 150,000.00

: USD 229,643.32

(45) TOTAL MARKS AND COLLATERAL SHORTFALL AFTER OFFSET COLLATERAL IN CCMS ACCOUNT** : CNY 4,000,000.00

: HKD 50,000.00

: USD 150,000.00

(46) TOLERANCE LIMIT FOR TOTAL MARKS AND COLLATERAL SHORTFALL* : CNY 3,322,259.14

: HKD 41,528.24

: USD 124,584.72

(47) INTRA-DAY MARKS AND COLLATERAL SHORTFALL TO BE COLLECTED IN CASH** : CNY 677,740.86

: HKD 8,471.76

: USD 25,415.28

(48) TOTAL NO OF RECORD(S) : 14

SECTION 4.3

REPORT SAMPLE 4.3.17 INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT

(1)CRMIM01 (2)B11668
(3)GOODWILL & COMPANY

HKSCC - CCASS
INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT

(4) RUN DATE : 03AUG12
(5) RUN TIME : 11:15:55
PAGE : 5

(6)DATE : 03AUG12 (7)SNAPSHOT TIME: 11:00:00

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" (CCMPY01) FOR THE DETAILS OF COLLATERALISATION.
- * TOLERANCE LIMIT WILL BE APPLIED PRO RATA TO MARKS AND COLLATERAL SHORTFALL OF DIFFERENT CURRENCIES IN HKD EQUIVALENCE.

NOTES:

THE SHORTFALL FOR RESPECTIVE CURRENCY OF MARKS AND MARGIN PROCESS EXECUTED AT 11:00 AM WILL BE WAIVED IF IT IS SMALLER THAN THE FOLLOWING AMOUNT:

- I) HKD 10,000
- II) CNY 10,000
- III) USD 1,000

THE ABOVE WAIVER DOES NOT APPLY TO MARGIN PROCESS EXECUTED AT 2:00 PM, IF ANY.

SECTION 4.3

REPORT SAMPLE 4.3.17 INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT

(1)CRMIM01 (2)B11668 HKSCC - CCASS (4) RUN DATE : 03AUG12
 (3)GOODWILL & COMPANY INTRA-DAY MARKS AND COLLATERAL COLLECTION REPORT (5) RUN TIME : 11:15:55
 PAGE : 6

(6)DATE : 03AUG12 (7)SNAPSHOT TIME: 11:00:00

COVERED POSITIONS INFORMATION :

COVERED BY SPECIFIC CASH COLLATERAL (SCC)				(53)	(54)	(55)
(49)	(50)	(51)	(52)	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)				(53)	(54)	(55)
(49)	(50)	(51)	(52)	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 15,789.60-	CNY 15,789.60-
	HKD 0.00	HKD 150,000.00-	HKD 150,000.00-
	USD 13,643.32-	USD 0.00	USD 13,643.32-
TOTAL	CNY 0.00	CNY 15,789.60-	CNY 15,789.60-
	HKD 0.00	HKD 150,000.00-	HKD 150,000.00-
	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 ***