

SECTION 4.3
REPORT SAMPLE 4.3.60 MARGIN PAYABLE REPORT

(1) CRMMG02 (2) B01234
 (3) ABC SEC LTD

HKSCC - CCASS
 MARGIN PAYABLE REPORT

(4) RUN DATE : 23AUG12
 (5) RUN TIME : 18:59:22
 PAGE : 1

(6) DATE : 02JAN13 (7) SNAPSHOT TIME : 17:51:53

SECTION A FOR NON-MULTI-COUNTER SECURITIES & MULTI-COUNTER SECURITIES WITHOUT NETTING

(8) STOCK/ (9) CCY	(10) STM DATE : 03JAN13 (11) QTY/ (12) MKT PRICE (BASE CCY) (13) MKT VALUE (BASE CCY)	(10) STM DATE : 04JAN13 (11) QTY/ (12) MKT PRICE (BASE CCY) (13) MKT VALUE (BASE CCY)	(14) DUE/OVERDUE QTY / (15) MKT PRICE (BASE CCY) (16) MKT VALUE (BASE CCY)	(17) TOTAL (CROSS-DAY NET) QTY / (18) MKT VALUE (BASE CCY)
2 (CNY)	-400,000 -1,800,000.00	4.50000	600,000 2,700,000.00	4.50000 0 200,000
4 (CNY)	30,000,000 120,000,000.00	4.00000	40,000 160,000.00	4.00000 0 30,040,000
5 (CNY)	1,000 4,000.00	4.00000	-2,000,000 -8,000,000.00	4.00000 0 -1,999,000
				(19) TOTAL CROSS-DAY NET LONG CNS POSITION : CNY 121,060,000.00
				(20) TOTAL CROSS-DAY NET SHORT CNS POSITION : CNY 7,996,000.00
9 (HKD)	-150,000 -300,000.00	2.00000	150,000 300,000.00	2.00000 0 0
175 (HKD)	10,000 49,000.00	4.90000	10,000 49,000.00	4.90000 0 20,000
178 (HKD)	500,000 2,750,000.00	5.50000	400,000 2,200,000.00	5.50000 0 900,000
179 (HKD)	-8,000,000 -40,000,000.00	5.00000	0 0.00	5.00000 0 -8,000,000
				(19) TOTAL CROSS-DAY NET LONG CNS POSITION : HKD 5,048,000.00
				(20) TOTAL CROSS-DAY NET SHORT CNS POSITION : HKD 40,000,000.00
7 (USD)	600 2,700.00	4.50000	-4,000 -18,000.00	4.50000 0 -3,400
8 (USD)	-8,000,000 -32,000,000.00	4.00000	-8,000,000 -32,000,000.00	4.00000 0 -16,000,000
121 (USD)	-50,000 -255,000.00	5.10000	-1,000 -5,100.00	5.10000 0 -51,000
				(19) TOTAL CROSS-DAY NET LONG CNS POSITION : USD 0.00
				(20) TOTAL CROSS-DAY NET SHORT CNS POSITION : USD 64,275,400.00

SECTION B FOR MULTI-COUNTER SECURITIES WITH NETTING

(21) STOCK/ (22) CCY	(23) STM DATE : 03JAN13 (24) QTY/ (25) MKT PRICE (BASE CCY) (26) MKT VALUE (BASE CCY)	(23) STM DATE : 04JAN13 (24) QTY/ (25) MKT PRICE (BASE CCY) (26) MKT VALUE (BASE CCY)	(27) DUE/OVERDUE QTY / (28) MKT PRICE (BASE CCY) (29) MKT VALUE (BASE CCY)	(30) TOTAL (CROSS-DAY NET) QTY / (31) MKT VALUE (BASE CCY)
163 (CNY)	8,000 24,000.00	3.00000	2,000 6,000.00	3.00000 0 10,000
				(30) TOTAL (CROSS-DAY NET) 30,000.00

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SECTION B FOR MULTI-COUNTER SECURITIES WITH NETTING

(21) STOCK / (22) CCY	(23) STM DATE : 03JAN13 (24) QTY / (25) MKT PRICE (BASE CCY) / (26) MKT VALUE (BASE CCY)	(23) STM DATE : 04JAN13 (24) QTY / (25) MKT PRICE (BASE CCY) / (26) MKT VALUE (BASE CCY)	(27) DUE/OVERDUE QTY / (28) MKT PRICE (BASE CCY) / (29) MKT VALUE (BASE CCY)	(30) TOTAL (CROSS-DAY NET) QTY / (31) MKT VALUE (BASE CCY)
19 (HKD)	-42,000 -378,000.00	9.00000 -8,000 -72,000.00	9.00000 0 0.00	-50,000 -450,000.00
264 (USD)	20,000 100,000.00	5.00000 20,000 100,000.00	5.00000 0 0.00	40,000 200,000.00
(32) STOCK NAME : STOCK 264			(33) AFTER NETTING ACROSS STOCK COUNTERS (34) / (35) USD ^	0 146,923.07
296 (CNY)	800 1,600.00	2.00000 80,000 160,000.00	2.00000 0 0.00	80,800 161,600.00
27 (HKD)	70,000 560,000.00	8.00000 25,000 200,000.00	8.00000 0 0.00	95,000 760,000.00
263 (USD)	-5,000 -20,000.00	4.00000 -3,000 -12,000.00	4.00000 0 0.00	-8,000 -32,000.00
(32) STOCK NAME : K. WAH CONS			33) AFTER NETTING ACROSS STOCK COUNTERS (34) / (35) HKD	167,800 704,320.00
			(36) TOTAL CROSS-DAY NET LONG CNS POSITION : HKD	704,320.00
			(37) TOTAL CROSS-DAY NET SHORT CNS POSITION : HKD	0.00
			(36) TOTAL CROSS-DAY NET LONG CNS POSITION : USD	0.00
			(37) TOTAL CROSS-DAY NET SHORT CNS POSITION : USD	0.00

SECTION C COMBINED CROSS-DAY CNS POSITION OF SECTION A TO B

(38) TOTAL CROSS-DAY NET LONG CNS POSITION : CNY	121,060,000.00
(39) TOTAL CROSS-DAY NET SHORT CNS POSITION : CNY	7,996,000.00
(38) TOTAL CROSS-DAY NET LONG CNS POSITION : HKD	5,752,320.00
(39) TOTAL CROSS-DAY NET SHORT CNS POSITION : HKD	40,000,000.00
(38) TOTAL CROSS-DAY NET LONG CNS POSITION : USD	0.00
(39) TOTAL CROSS-DAY NET SHORT CNS POSITION : USD	64,275,400.00

SECTION D PENDING POSITION COVERED BY SPECIFIC STOCK COLLATERAL (SSC)

SSC QUALIFIED FOR REDUCING MARGINING POSITION

(40) STM DATE	(41) ORIGINAL POS QTY	(42) QTY COVERED BY SSC	POS QTY (48)	POS AMT (49)	MKT VALUE (50)
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SECTION D PENDING POSITION COVERED BY SPECIFIC STOCK COLLATERAL (SSC)

(43) STOCK CODE:	121	(44) STOCK NAME:	HK FORTUNE	(45) CCY:	USD		
	04JAN13		-1,000		1,000		

CROSS-DAY TOTAL (46) / (47)			-1,000		1,000	1,000	5,000.00
							5,100.00
				(51) / (52) TOTAL:	USD		5,000.00
							5,100.00

SECTION E PENDING POSITION COVERED BY SPECIFIC CASH COLLATERAL (SCC)

SCC QUALIFIED FOR REDUCING MARGINING POSITION

(53) STM DATE	(54) ORIGINAL POS QTY	(55) QTY COVERED BY SCC	POS QTY (61)	MKT VALUE (62)	
(56) STOCK CODE:	175	(57) STOCK NAME:	SOUTH CHINA I&T	(58) CCY:	HKD
	04JAN13		10,000	10,000	

CROSS-DAY TOTAL (59) / (60)			10,000	10,000	49,000.00
				(63) TOTAL:	HKD
					49,000.00

SECTION F MARGIN REQUIREMENT

MARGINING POSITION = HIGHER OF THE NET AMOUNT OF (I) OR (II) AS BELOW FOR RESPECTIVE CURRENCY:

(64) CURRENCY: CNY			
(I) (65) TOTAL CROSS-DAY NET LONG POSITION			121,060,000.00
LESS:			
(66) SSC (POS AMT)			0.00
(67) SCC (MKT VALUE)			0.00
(68) NET AMOUNT			121,060,000.00
(II) (69) TOTAL CROSS-DAY NET SHORT POSITION			7,996,000.00
LESS:			
(70) SSC (MKT VALUE)			0.00
(71) NET AMOUNT			7,996,000.00
(64) CURRENCY: HKD			
(I) (65) TOTAL CROSS-DAY NET LONG POSITION			5,752,320.00
LESS:			
(66) SSC (POS AMT)			0.00
(67) SCC (MKT VALUE)			49,000.00
(68) NET AMOUNT			5,703,320.00

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SECTION F MARGIN REQUIREMENT			
(II) (69) TOTAL CROSS-DAY NET SHORT POSITION			40,000,000.00
LESS:			
(70) SSC (MKT VALUE)			0.00
(71) NET AMOUNT			40,000,000.00
(64) CURRENCY: USD			
(I) (65) TOTAL CROSS-DAY NET LONG POSITION			0.00
LESS:			
(66) SSC (POS AMT)			5,000.00
(67) SCC (MKT VALUE)			0.00
(68) NET AMOUNT			0.00
(II) (69) TOTAL CROSS-DAY NET SHORT POSITION			64,275,400.00
LESS:			
(70) SSC (MKT VALUE)			5,100.00
(71) NET AMOUNT			64,270,300.00
(72) MARGINING POSITION:		CNY :	121,060,000.00
		HKD :	40,000,000.00
		USD :	64,270,300.00
(73) MARGIN BEFORE MARKS OFFSET AND MARGIN CREDIT AT MARGIN RATE 5.00% & MARGIN MULTIPLIER OF 1.0000		CNY :	6,053,000.00
		HKD :	2,000,000.00
		USD :	3,213,515.00
(74) FAVORABLE MARKS FOR OFFSET MARGIN		CNY :	2,110,000.00
		HKD :	399,000.00
		USD :	33,300.00
(75) MARGIN CREDIT APPLIED		CNY :	633,143.58
		HKD :	257,079.09
		USD :	510,660.08
(76) MARGIN REQUIREMENT INCLUDING EOT		CNY :	3,309,856.42
		HKD :	1,343,920.91
		USD :	2,669,554.92
(77) MARGIN REQUIREMENT WITHOUT EOT		CNY :	3,996,002.62
		HKD :	1,294,274.77
		USD :	1,924,205.01
(78) ADDITIONAL MARGIN REQUIREMENT DUE TO EOT		CNY :	0.00
		HKD :	49,646.14
		USD :	745,349.91

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SECTION G MARGIN SHORTFALL

(79) MARGIN SHORTFALL IN RESPECTIVE CURRENCY**	CNY :	3,309,856.37
	HKD :	1,343,913.87
	USD :	2,651,056.75
(80) MARGIN SHORTFALL TO BE COLLECTED BY HKSCC VIA DDI	CNY :	3,309,856.00
	HKD :	1,343,913.00
	USD :	2,651,056.00
(81) ADDITIONAL MARGIN REQUIREMENT DUE TO EOT TO BE COLLECTED BY SEOCH	CNY :	0.00
	HKD :	0.00
	USD :	0.00

SECTION H REFUND OF MARGIN AS PART OF CASH PREPAYMENT

(82) MARGIN TO BE REFUNDED ON NEXT SETTLEMENT DAY IF STANDING INSTRUCTION FOR CASH PREPAYMENT IS SET UP TO RELEASE CNS ALLOCATED SHARES	CNY :	2,909,856.42
	HKD :	1,166,824.77
	USD :	323,050.01

REMARKS:

^ ABNORMAL POSITION WILL BE EXCLUDED FROM CALCULATION OF MARGINING POSITION.
 ** PLEASE REFER TO "POSTING / COLLATERALISATION RESULT REPORT" (CCMPY02) FOR THE DETAILS OF COLLATERALISATION.

NOTES:

1. WHEN THERE IS NO ADDITIONAL MARGIN REQUIREMENT DUE TO EOT, MARGIN 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 MARGIN REQUIREMENT DUE TO EOT WILL BE COLLECTED BY SEOCH. FOR OTHERS, ALL MARGIN REQUIREMENT INCLUDING EOT WILL BE COLLECTED BY HKSCC VIA DDI.
3. THE ACTUAL AMOUNT OF MARGIN TO BE REFUNDED IS CAPPED BY THE ACTUAL CASH PREPAYMENT NEEDED AND IS SUBJECT TO THE AVAILABILITY OF CASH COLLATERAL IN THE CCMS COLLATERAL ACCOUNT.

(83) EXCHANGE RATE INFORMATION:

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

DDI : DIRECT DEBIT INSTRUCTION GCP : GENERAL CLEARING PARTICIPANT
 EOT : EXERCISED OPTIONS TRADES

*** END OF REPORT ***