

CCMMV01 PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT

(1) CCMMV01 HKEX - CCMS (2) RUN DATE : 25SEP12
 PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT (3) RUN TIME : 23:55:19
 PAGE : 1

(4) CCMS DATE : 25SEP12

(5) FIRM NAME : GOODWILL
 (6) PART NAME : GOODWILL SEC

(7)	(8)	(9)	(10)
FIRM ID	PART ID	A/C TYPE	A/C NO
BF06520	B06520	HSE	0001

(11) CASH

(13)	(14)	(15)	(16)	(17)	(18)	(19)	(34)	(20)	(21)	(22)	(23)
CCY	CU	TRAN DATE/TIME/	TYPE /	CONFIRMED AMT /	OUTSD DB	PENDING DDI	DCI SENT	DCI COLLECTED			
---	---	TRAN REF	UPDATED BY	REMARKS	---	---	---	---			
HKD	GEN	25SEP12/15:25	IN	2.74	0.00	0.00	0.00	0.00			
		0	PBCMIS02	INTEREST POSTING (200512.)							
(35)TOTAL MV BAL:				2.74	0.00	0.00	0.00	0.00			

(11) BANK GUARANTEE

(24)	(12)	(13)	(14)	(15)	(17)	(25)	(26)	(27)	(16)	(18)
BANK CD	CCY	CU	TRAN DATE/TIME	TYPE	BG SEQ #	BG REF #	RM ALLOC AMOUNT	TRAN REF	UPDATED BY	
003	HKD	GEN	25SEP12/12:22	DP	6748	DS01BGE1	5,000.00	0000000006748	H0000119	
	HKD	GEN	25SEP12/12:49	WH	6769	DS01BGE1	-5,000.00		H0000119	
(35)TOTAL MV BAL:							0.00			

(11) CCASS STOCK

(28)	(29)	(30)	(13)	(14)	(15)	(17)	(31)	(32)	(33)	(16)	(18)
STK CODE	ISIN CODE	DEPO	CU	TRAN DATE/TIME	TYPE	CUSTOMER ACC	STM DATE	QUANTITY	TRAN REF	UPDATED BY	
5	GB0005405286	CDP	DEP	25SEP12/10:39	UP			8,000	0000000011998	H00001FC	
	GB0005405286	CDP	GEN	25SEP12/10:31	LF			40,000	0000000011990	H00001FC	
	GB0005405286	CDP	GEN	25SEP12/10:35	SD			-2,000	0000000011992	H00001FC	
	GB0005405286	CDP	GEN	25SEP12/10:39	UP			-8,000	0000000011998	H00001FC	
	GB0005405286	CDP	SPS	25SEP12/10:35	SD		31JAN08	2,000	0000000011992	H00001FC	
(36)TOTAL MV QUANTITY:								40,000			

SECTION 4.3

REPORT SAMPLE 4.3.3 : CCMMV01 PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT

(1) CCMMV01	HKEX - CCMS										(2) RUN DATE : 25SEP12
	PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT										(3) RUN TIME : 23:55:19
											PAGE : 2
(4) CCMS DATE	:	25SEP12									
(5) FIRM NAME	:	GOODWILL									
(6) PART NAME	:	GOODWILL SEC									
(7) FIRM	(8) PART ID	(9) A/C TYPE	(10) A/C NO								
BF06520	B06520	HSE	0001								
(11) CCASS STOCK	=====										
(28) STK CODE	(29) ISIN CODE	(30) DEPO	(13) CU	(14) TRAN DATE/TIME	(15) TYPE	(17) CUSTOMER ACC	(32) STM DATE	(33) QUANTITY	(16) TRAN REF	(18) UPDATED BY	
4363	US4642867315	CDP	GEN	25SEP12/14:43	LF			10,000	0000000011852	H0000120	
	US4642867315	CDP	GEN	25SEP12/21:20	*CA			-10,000		PBCMCA01	
	US4642867315	CDP	GEN	25SEP12/21:20	*CA			100,000		PBCMCA01	
						(36) TOTAL MV QUANTITY:		100,000			
(11) NON-CCASS STOCK	=====										
(29) ISIN CODE	(30) DEPO	(13) CU	(14) TRAN DATE/TIME	(15) TYPE	(17) CUSTOMER ACC	(32) STM DATE	(33) QUANTITY	(16) TRAN REF	(18) UPDATED BY		
NCSDS01NC001	CDP	GEN	25SEP12/11:25	DP			1,000	0000000006710	H0000119		
						(36) TOTAL MV QUANTITY:		1,000			
(11) BONDS	=====										
(29) ISIN CODE	(30) DEPO	(13) CU	(14) TRAN DATE/TIME	(15) TYPE	(17) CUSTOMER ACC	(32) STM DATE	(33) QUANTITY	(16) TRAN REF	(18) UPDATED BY		
DS01NC000001	CDP	GEN	25SEP12/10:41	DP			1,000	0000000006663	H0000119		
						(36) TOTAL MV QUANTITY:		1,000			

SECTION 4.3

REPORT SAMPLE 4.3.3 : CMMMV01 PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT

(1) CMMMV01

HKEX - CCMS
PARTICIPANT COLLATERAL ACCOUNT MOVEMENT REPORT

(2) RUN DATE : 25SEP12
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PAGE : 3

(4) CCMS DATE : 25SEP12

(5) FIRM NAME : GOODWILL
(6) PART NAME : GOODWILL SEC
(7) FIRM (8) PART ID (9) A/C TYPE (10) A/C NO

BF06520 B06520 HSE 0001

(11) SPECIFIC CASH COLLATERAL
=====

(12) CCY	(13) STK CU	(28) STK CODE	(29) ISIN CODE	(14) / (15) TRAN DATE/TIME/ TRAN REF	(16)	(37) TRADE DATE / STM DATE	(38) / (17) / (18) ON-HOLD SPECIFIC CASH / TYPE / UPDATED BY	(39) / (34) FREE SPECIFIC CASH / REMARKS	(40) PENDING SPECIFIC CASH	(41) SPECIFIC CASH COLLECTED
CNY	SPC	405		25SEP12/19:39		25SEP12		0.00 0.00	120,000.00	0.00
CNY	SPC	404	BMG4634Z1014	25SEP12/15:08		27SEP12	CO PBCMML10	SPECIFIC CASH DDI GENERATED	80,000.00	0.00
CNY	SPC	404	BMG4634Z1014	25SEP12/16:00		27SEP12	SO PBCMCH03	SPECIFIC CASH CPI GENERATED	-80,000.00	80,000.00
CNY	SPC	403	BMG8438Y1030	25SEP12/11:57		27SEP12	SM PBCMFC03	SPECIFIC CASH CPI CONFIRMED	0.00	0.00
CNY	SPC	403	BMG8438Y1030	25SEP12/12:06		27SEP12	SF H0000103	ADD GENERAL TO SPECIFIC CASH	2,000.00	0.00
CNY	SPC	403	BMG8438Y1030	25SEP12/20:33		27SEP12	SF H0000103	ADD GENERAL TO SPECIFIC CASH	-2,000.00	0.00
CNY	SPC	417	BMG911231022	25SEP12/19:39		27SEP12	CQ PBCMGP14	REFUND FREE SPECIFIC CASH	0.00	160,000.00
CNY	SPC	2	HK0002007356	25SEP12/19:39		27SEP12	CO PBCMML10	SPECIFIC CASH DDI GENERATED	0.00	1,000.00
				(35) TOTAL MV BAL (CNY):				0.00 120,000.00	281,000.00	80,000.00
HKD	SPC	319	BMG5222F1344	25SEP12/19:39		27SEP12	CO PBCMML10	SPECIFIC CASH DDI GENERATED	160,000.00	0.00
HKD	SPC	176	BMG925951003	25SEP12/11:57		27SEP12	SF H0000103	ADD GENERAL TO SPECIFIC CASH	200,000.00	0.00
HKD	SPC	177	CN0009076356	25SEP12/15:08		27SEP12	SO PBCMCH03	SPECIFIC CASH CPI GENERATED	0.00	240,000.00
HKD	SPC	177	CN0009076356	25SEP12/16:00		27SEP12	SM PBCMFC03	SPECIFIC CASH CPI CONFIRMED	240,000.00	-240,000.00
HKD	SPC	318	KYG5213A1022	25SEP12/15:08		27SEP12	SO PBCMCH03	SPECIFIC CASH CPI GENERATED	0.00	1,000.00
HKD	SPC	318	KYG5213A1022	25SEP12/16:00		27SEP12	SM PBCMFC03	SPECIFIC CASH CPI CONFIRMED	1,000.00	-1,000.00
HKD	SPC	318	KYG5213A1022	25SEP12/19:39		27SEP12	CO PBCMML10	SPECIFIC CASH DDI GENERATED	0.00	280,500.00

