

# ABC Securities Limited

## 綜合日結單 / 買賣合約 Daily Combined Statement / Contract Note

Chan Tai Keung

Flat A, 19/F  
abc Tower,  
Mongkok

Print Date 列印日期: 21 Aug 2019  
Account No 客戶編號: 110002  
Account Type 客戶類型: Custodian 保管戶口  
AE Code 經紀編號: M02  
AE Name 經紀名稱: Samuel Louie  
Credit Interest Rate (HKD) 存款利率: 0.0010% p.a  
Debit Interest Rate (HKD) 借款利率: 5.0000% p.a

### 現金帳戶記錄 Cash Statement for 02 Dec 2013

T/D 交易 日期	S/D 交收 日期	Ref No 參考 編號	Description 摘要	Price 單價	CCY 貨幣	Debit 支帳 / 結欠	Credit 存帳 / 結存	Balance 結餘
承上結餘 Balance B/F					CNY			0.00
02/12	05/12	102340	Sold Out -10,000 nominal value of BCNY0001 HUAWEI 5.3 05/18/15	99.88%	CNY		9,947.38	9,947.38
結餘轉下 Balance C/F					CNY		9,947.38	9,947.38
承上結餘 Balance B/F					HKD			377.08
02/12	02/12	46226	sold note no. 22323		HKD		10,000.00	10,377.08
02/12	04/12	102338	Bought In 1,000 shares of 00001 CHEUNG KONG 長江實業	130.00	HKD	130,471.90		-120,094.82
02/12	04/12	102343	Bought In 10,000 shares of 00001 CHEUNG KONG 長江實業	110.00	HKD	1,103,993.00		-1,224,087.82
02/12	04/12	102345	Bought In 3,000 shares of 00388 HKEX 香港交易所	300.6667	HKD	905,274.26		-2,129,362.08
結餘轉下 Balance C/F					HKD	2,139,739.16	10,000.00	-2,129,362.08
承上結餘 Balance B/F					USD			76,631.94
02/12	02/12	46196	Deposit Money/CR		USD		10,000,000.00	10,076,631.94
02/12	02/12	46197	Subscription of (DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港) DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG		USD	102,750.00		9,973,881.94
02/12	02/12	46198	Subscription of (DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港) DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG		USD	102,750.00		9,871,131.94
02/12	02/12	46199	Redemption of (DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港) DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG @170.110000		USD		165,742.72	10,036,874.66
02/12	02/12	46214	CASH DIVIDEND on 10,000 nominal values of (BCNY0001) HUAWEI 5.3 05/18/15 at 0.5000 per nominal value at 02/12/2013		USD		5,000.00	10,041,874.66
02/12	02/12	46215	Collection Fee - shs HUAWEI 5.3 05/18/15 (BCNY0001)		USD	25.00		10,041,849.66
02/12	02/12	46227	Subscription of (DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港) DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG		USD	205,500.00		9,836,349.66
02/12	02/12	46228	Redemption of (DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港) DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG @158.900000		USD		154,532.72	9,990,882.38
02/12	05/12	102344	Bought In 1,000 shares of AA ALCOA INC	5.00	USD	5,065.01		9,985,817.37
結餘轉下 Balance C/F					USD	416,090.01	10,325,275.44	9,985,817.37

### 交易詳情 Trade Details for 02 Dec 2013

Market 市場	Trade No 交易 編號	T/D S/D 交易 交收	Instrument 投資工具	B/S 買沽	Quantity 數量	Price 成交價	CCY 貨幣	Gross Amount 總額	Transaction Cost 交易費用	Net Amount 淨額
BND	102340	02/12 05/12	BCNY0001 HUAWEI 5.3 05/18/15	SELL	10,000	99.88%	CNY	9,988.00	Brokerage 佣金 29.96 Accrued Interest 利息 -489.34 Clearing Fee 結算費 500.00	9,947.38
SUBTOTAL									40.62	
Net Total due on 05/12							CNY			9,947.38
HKG	102338	02/12 04/12	00001 CHEUNG KONG 長江實業	BUY	1,000	130.00	HKD	130,000.00	Brokerage 佣金 325.00 Stamp Duty 印花稅 130.00 Levy 交易徵費 3.90 Clearing Fee 結算費 6.50 Trading Fee 交易費 6.50	-130,471.90
SUBTOTAL									471.90	

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HKG	102343	02/12 00001 04/12 CHEUNG KONG 長江實業	BUY	10,000	110.00 HKD	1,100,000.00	Brokerage 佣金 Stamp Duty 印花稅 Levy 交易徵費 Clearing Fee 結算費 Trading Fee 交易費	2,750.00 1,100.00 33.00 55.00 55.00	-1,103,993.00
								SUBTOTAL	3,993.00
HKG	102345	02/12 00388 04/12 HKEX 香港交易所	BUY	1,000 2,000	300.00 HKD 301.00	902,000.00	Brokerage 佣金 Stamp Duty 印花稅 Levy 交易徵費 Clearing Fee 結算費 Trading Fee 交易費	2,255.00 902.00 27.06 45.10 45.10	-905,274.26
								SUBTOTAL	3,274.26
<b>Net Total due on 04/12</b>					<b>HKD</b>				<b>-2,139,739.16</b>
USA	102344	02/12 AA 05/12 ALCOA INC	BUY	1,000	5.00 USD	5,000.00	Brokerage 佣金 Stamp Duty 證監徵費 Settle Fee	25.00 0.01 40.00	-5,065.01
								SUBTOTAL	65.01
<b>Net Total due on 05/12</b>					<b>USD</b>				<b>-5,065.01</b>

### 基金詳情 Fund Details for Settlement Date 02 Dec 2013

Market 市場	Order No 交易編號	O/D V/D 交易 成交	Fund 基金	S/R 認購 贖回	Unit 單位	CCY 貨幣	Unit Price 單位淨值	Investment Amount 投資淨值	Charges 手續費	Net Amount 投資總值
FUN	10005	02/12	0DNNT	S	624.02496	USD	160.25	100,000.00	2,750(2.75%)	102,750.00
		02/12	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港							
FUN	10006	02/12	0DNNT	R	1,000	USD	158.90	158,900.00	4,367.28(2.7484%)	154,532.72
		02/12	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港							
FUN	10008	02/12	0DNNT	S	605.61	USD	165.12	100,000.00	2,750(2.75%)	102,750.00
		02/12	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港							
FUN	10009	02/12	0DNNT	R	1,000	USD	170.11	170,110.00	4,367.28(2.5673%)	165,742.72
		02/12	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港							
FUN	10010	02/12	0DNNT	S	1,258.653	USD	158.90	200,000.00	5,500(2.75%)	205,500.00
		02/12	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港							

### 現金結餘 Cash Balance for 02 Dec 2013

CCY 貨幣	Available Balance 可用結餘	Net of Unsettle Bal 淨未交收結餘	Ledger Balance 帳面結餘	#Exch Rate # 匯率	Balance (HKD) 結餘(港元)
CNY	-11,013.53	9,947.38	-1,066.15	1.2352	-1,316.91
HKD	10,099.50	-2,139,461.58	-2,129,362.08	1.00	-2,129,362.08
USD	9,914,250.44	71,566.93	9,985,817.37	7.75705	77,460,484.63

現金值 Cash Value: **75,329,805.64**

### 投資工具帳戶記錄 Instrument Journal for 02 Dec 2013

T/D 交易日期	S/D 交收日期	Ref No 參考編號	Market 市場	Instrument 投資工具代號	Deposit 存入	Withdraw 支出	Description 摘要	Instrument Name 投資工具名稱
02/12	02/12	10004	FUN	0DNNT	624.02496		Deposit (0DNNT) DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG by Subscription @160.250000	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港
02/12	02/12	10005	FUN	0DNNT	1,000		Deposit 1000 DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG (LU0220605033)(0DNNT)	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港
02/12	02/12	10006	FUN	0DNNT		1,000	Withdraw (0DNNT) DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG For Redemption	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港
02/12	02/12	10007	FUN	0DNNT	605.61		Deposit (0DNNT) DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG by Subscription @165.120000	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港
02/12	02/12	10008	FUN	0DNNT		1,000	Withdraw (0DNNT) DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG For Redemption	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG 德盛龍虎精選基金-香港

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02/12 02/12 10009 FUN 0DNNT

1,258.653

Deposit (0DNNT) DRESDNER RCM NEW  
TIGER SELECTIONS FUND-HONG KONG by  
Subscription @158.90000

DRESDNER RCM NEW TIGER  
SELECTIONS FUND-HONG KONG  
德盛龍虎精選基金-香港

### 基金投資組合記錄 Fund Portfolio Statement for 02 Dec 2013

Instrument Code and Name 投資工具代號及名稱						Holdings B/F 前期結餘單位數	Holdings C/F 本期結餘單位數		
Date of Purchase 申購日期	CCY 貨幣	Amount 原始申購金額	Executed Price 申購價格	Market Price/NAV Price As At 參考價格日期	Ref Market Price/NAV 參考市場價格 /單位淨值	Ref Market Value 參考市場價值	Ref Market Value (HKD) 參考市場價值(港幣)	Return % 報酬率	
0DNNT	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG	USD	0.00	0.00	28 Nov 2013	158.90000	15,890.00	0	100
								123,259.52	0.00
0DNNT	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG	USD	200,000.00	158.90	02 Dec 2013	158.90000	199,999.96	0	1,258.653
02 Dec 2013								1,551,409.69	0.00
0DNNT	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG	USD	100,000.00	160.25	02 Dec 2013	158.90000	3,817.57	0	24.02496
02 Dec 2013								29,613.08	-0.84
0DNNT	DRESDNER RCM NEW TIGER SELECTIONS FUND-HONG KONG	USD	100,000.00	165.12	02 Dec 2013	158.90000	16,781.43	0	105.61
02 Dec 2013								130,174.39	-3.77

股份組合市值 Portfolio Value: 1,834,456.68

### 投資組合記錄 Portfolio Statement for 02 Dec 2013

Instrument Code and Name 投資工具代號及股票名稱	Holding B/F 承上	CCY 貨幣	Movement In/Out 出/入	Holding C/F 轉下	Closing Price 收市價	Value 市場價值	#Exch Rate 匯率	Value (HKD) 市場價值(港元)
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#### BND Bonds and Notes Market

##### BONDS Bonds

FCCONVA	F&C Global Convertible Bond	210,000	USD	0	210,000	100.00%	210,000.00	7.75705	1,628,980.50
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股份組合市值 Portfolio Value For USD 210,000.00 1,628,980.50

#### HKG Hong Kong

##### EQT Equity

00001	CHEUNG KONG 長江實業	0	HKD	11,000	11,000	125.50	1,380,500.00	1.00	1,380,500.00
00388	HKEX 香港交易所	0	HKD	3,000	3,000	147.90	443,700.00	1.00	443,700.00

股份組合市值 Portfolio Value For HKD 1,824,200.00 1,824,200.00

#### USA United States of America

##### EQT Equity

AA	ALCOA INC	0	USD	1,000	1,000	9.00	9,000.00	7.75705	69,813.45
IBM	INTERNATIONAL BUSINESS MA	-92,000	USD	0	-92,000	205.18	-18,876,560.00	7.75705	-146,426,419.75

股份組合市值 Portfolio Value For USD -18,867,560.00 -146,356,606.30

股份組合市值 Portfolio Value: -142,903,425.80

總值 Net Value: -141,068,969.12

# Exchange Rate used are for indication only 匯率只作指引用途

\* Margin % 融資成數

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Trades are completed by this company as a broker unless otherwise stated. We confirm that the stamp duty imprinted herein has been/will be paid through The Stock Exchange of Hong Kong Ltd. Please see important notes below. The above stated transaction levy is collected on behalf of and will be paid to The Exchange as prescribed. It is hereby agreed between all parties concerned that present or future difference arising from above trade(s). Shall be submitted to arbitration pursuant to Arbitration Ordinance, Cap. 341. It is deemed to be correct if no discrepancies are reported within 7 days.

Price or rate herein is for information only. It is not a representation that you may trade the relevant products at such price or rate in the relevant market, nor does it necessarily reflect the true value thereof. We accept no liability for any error or omission in respect of the said price or rate.

This is computer generated statement, signature not required.

除特別聲明外，以上交易均以經紀名義完成。厘印費乃代聯合交易所收取，將回繳聯合交易所，請參閱以下之重要提示。上列交易徵費乃代聯合交易所收取，將依例回繳聯合交易所，本合約有關人等均同意因上列交易產生之差異，將根據香港仲裁條例處理（香港法例第三四一章）。如對本單據有任何疑問，請於七日內通知本公司。

有關價格或利率僅作參考之用，並不代表相關產品可以用此價格或利率在有關市場進行交易，亦不一定代表相關產品的真實價值。本公司對任何關於上述價格或利率的錯誤或缺漏不承擔任何責任。

本結單由電腦印制，不須簽署。

### IMPORTANT NOTES 重要提示

- (1) The stock market is a rapidly changing market and there is an inherent risk in incurring loss in share dealing.  
股市波動不一，所有證券買賣皆包含一定程度之風險。
- (2) In the event of a default committed by a broker of the Unified Exchange, his clients are entitled to claim against the Compensation Fund established under the Securities Ordinance for pecuniary loss suffered to the extent provided for in the Securities Ordinance.  
假如交易所某經紀因為經營倒閉而未能完成其作為經紀之責任，并引致其顧客遭受金錢上之損失時，該等顧客均可提供合法證據向證券條例授權成立之賠償基金索償。其可能得到之賠償，則視證券條例中所規定者而異。
- (3) Every transaction concluded through and recognized by the Exchange is subject to a transaction levy and special levy imposed by the Exchange. The broker is authorized to collect the appropriate transaction levy and special levy in accordance with the rule prescribed by the Exchange from time to time. A copy of the latest rule on this aspect is available from the Exchange on payment of the prescribed charges.  
投資者必須清楚所有經由交易所成交被承認之證券買賣均須按交易所之規定繳納交易徵費及特別徵費，交易所已授權其所有會員代為收取是項費用，有關之徵費及特別徵費規則可向交易所購閱。
- (4) All transactions made for or on behalf of a client shall be subject to the relevant provisions of the constitution, Rules, regulations, by-laws, customs and usages of the Exchange, the CCASS Rules and of the Laws of Hong Kong as amended from time to time, and shall be binding on both the Member or Dealing Partnership and the client.  
所有替或代表客戶進行的交易須受到不時修訂之憲法、規則、規定、附則、本交易所的慣例和用法、中央結算系統規則及香港法例有關條文的限制，且對會員或證券合夥商號及客戶均有約束力。
- (5) Where safe custody arrangements are in place, shares will be deposited into/withdrawn from your Account with us upon settlement.  
在安全的託管措施安排下，客戶買入/賣出之股票會於結算日自動存入客戶之託管戶口/由客戶之託管戶口提出。
- (6) The contents of this Statement of Account shall be conclusive evidence of the transaction(s) set out unless objected to in accordance with the terms of the Client Agreement made between the Company and the person on whose authority the transaction(s) was(were) effected.  
除非依據本公司與客戶訂立之客戶協議條文提出反對，否則此單之內容成為所列出之交易的確定性根據。
- (7) This statement also serves as a receipt required by S13 Securities and Futures (Contract Notes, Statement of Account and Receipts) Rules.  
本結單同時充當<<證券及期貨(成交單據，戶口結單及收據)規則>>第十三條所要求之收據。

E.& O.E.

結單完結  
- End of Statement -