CAPITAL SECURITIES CORPORATION CONSOLIDATED BALANCE SHEETS (New Taiwan Dollars in Thousands, Except Share Data)

	(Unaudited September 30,	<i>,</i>	December 31,	2013	(Unaudite September 30	·		(Unaudited) September 30,	·	December 31,	2013	(Unaudite September 30	· ·
ASSETS	Amount	%	Amount	%	Amount	%	LIABILITIES AND EQUITY	Amount	%	Amount	%	Amount	%
Current Assets							Current Liabilities						
Cash and cash equivalents (Note 6(1))	\$ 3,692,345	4	4,554,344	6	3,995,127	5	Short-term borrowings (Note 6(10))	\$ 3,488,794	4	2,019,000	3	5,096,519	6
Financial assets at fair value through profit or	25,810,306	30	20,303,606	26	18,637,314	23	Commercial paper payable (Note 6(11))	4,499,026	5	2,299,582	3	1,399,660	2
loss - current (Note 6(2))							Financial liabilities at fair value through profit or	3,306,284	4	1,358,286	2	3,572,033	4
Available-for-sale financial assets - current (Note 6(2))	-	-	-	-	11,951	-	loss - current (Note 6(12))						
Bonds purchased under resale agreements (Notes 6(3) and 8)	489,820	1	558,394	1	531,731	1	Bonds sold under repurchase agreements (Note 6(13))	13,537,852	16	13,115,259	17	13,940,183	17
Receivable for securities provided as collateral	21,456,357	25	17,887,398	23	20,255,443	25	Guaranty deposited for short sales	2,246,353	3	2,366,747	3	1,995,844	3
Refinancing margin	7,299	-	190,114	-	29,202	-	Proceeds payable from short sales	2,623,430	3	3,008,916	4	2,399,697	3
Receivable on refinancing collateral	7,728	-	158,152	-	39,083	-	Securities lending refundable deposits	1,134,389	1	1,779,917	2	2,567,375	3
Receivable for securities lending and borrowing	370	-	-	-	-	-	Futures traders' equity (Note 6(14))	10,903,130	13	8,604,857	11	8,632,246	11
Customers margin account (Note 6(5))	11,041,122	13	8,649,790	11	8,678,934	11	Notes payable	1,044	-	858	-	1,227	-
Collateral for securities borrowed	397,940	-	369,830	1	288,106	-	Accounts payable (Note 6(15))	6,423,404	7	7,681,332	10	4,554,489	6
Securities borrowing margin	370,694	-	1,288,233	2	2,105,045	3	Advance receipts	13,854	-	150,905	-	12,740	-
Notes receivable	5,439	-	8,556	-	2,644	-	Receipts under custody	1,859,883	2	562,918	1	1,810,532	2
Accounts receivable (Note 6(4))	6,114,153	7	7,857,896	10	8,483,924	11	Other payables	1,043,748	1	855,360	1	711,202	1
Prepayments	46,351	-	44,625	-	50,770	-	Other financial liabilities - current (Note 6(24))	1,355,049	2	289,377	-	211,036	-
Other receivables	35,858	-	49,193	-	57,092	-	Current income tax liabilities	175,688	-	257,890	-	505,732	1
Other financial assets - current (Note 6(24))	-	-	-	-	108	-	Provisions - current (Note 6(18))	46,900	-	46,900	-	47,539	-
Current income tax assets	22,089	-	22,208	-	38,435	-	Other current liabilities	17,758	-	5,323	-	9,011	-
Other current assets	2,418,854	3	1,146,631	1	2,273,741	3		52,676,586	61	44,403,427	57	47,467,065	59
	71,916,725	83	63,088,970	81	65,478,650	82	- -						
							Non-current Liabilities						
							Other financial liabilities - non-current (Note 6(24))	543,250	1	1,399,141	2	1,168,141	1
							Deferred income tax liabilities	566,195	1	453,839	1	456,579	1
Non-current Assets							Guarantee deposits received	23,000	-	17,425	-	16,008	-
Financial assets at fair value through profit or loss -	207,783	-	208,135	-	208,257	-	Accrued pension liabilities - non-current	454,645	1	455,087	1	463,045	1
non-current (Notes 6(2) and 8)							Other non-current liabilities	337,611	-	340,939		341,997	-
Financial assets carried at cost - non-current (Note 6(2))	419,981	1	667,167	1	667,167	1		1,924,701	3	2,666,431	4	2,445,770	3
Available-for-sale financial assets - non-current (Note 6(2))	74,198	-	71,334	-	66,640	-	Total Liabilities	54,601,287	64	47,069,858	61	49,912,835	62
Investments accounted for under equity method (Note 6(6))	88,600	-	89,488	-	77,398	-							
Property and equipment (Notes 6(7) and 8)	5,428,172	6	6,266,465	8	6,304,661	8							
Investment property (Notes 6(8) and 8)	1,648,044	2	857,598	1	859,149	1	Equity Attributable to Shareholders of the Parent						
Intangible Assets (Note 6(9))	3,585,739	4	3,600,204	5	3,592,790	4	Common stock (Note 6(20))	23,690,730	27	23,690,730	30	23,690,730	30
Deferred income tax assets	671,781	1	783,007	1	878,396	1	Capital surplus						
Other non-current assets	2,205,006	3	2,304,683	3	2,113,461	3	Premium from stock issuance	1,940,208	2	1,940,208	2	1,940,208	2
	14,329,304	17	14,848,081	19	14,767,919	18	Treasury stock transactions	107,031	-	107,031	-	107,031	-
		·					Paid-in capital from merger	658,234	1	658,234	1	658,234	1
							Difference between consideration and carrying amount of subsidiaries acquired and disposed	143	-	-	-	-	-
							Changes in ownership interests in subsidiaries	6,287	-	-	-	-	-
							Retained earnings						
							Legal reserve	753,136	1	605,958	1	605,958	1
							Special reserve	1,756,283	2	1,628,318	2	1,628,318	2
							Unappropriated earnings (Note 6(19))	1,632,574	2	1,423,960	2	932,159	1
							Exchange differences on translation of foreign operations	9,984	-	(19,525)	-	(31,129)	-
							Unrealized gain or loss on available-for-sale financial assets	14,180		12,603		10,214	
								30,568,790	35	30,047,517	38	29,541,723	37
							Non-controlling Interests	1,075,952	1	819,676	1	792,011	1
							Total Equity	31,644,742	36	30,867,193	39	30,333,734	38
TOTAL ASSETS	\$ 86,246,029	100	77,937,051	100	80,246,569	100	TOTAL LIABILITIES AND EQUITY	\$ 86,246,029	100	77,937,051	100	80,246,569	100

CAPITAL SECURITIES CORPORATION CONSOLIDATED STATEMENTS OF COMPREHENSIVE INCOME (New Taiwan Dollars in Thousands, Except Earnings Per Share Data) (Unaudited)

Answet Namet Namet <t< th=""><th></th><th>Ju</th><th>ıly 1~ Sept. 3(</th><th>), 2014</th><th>July 1~ Sept. 3</th><th>0, 2013</th><th>Jan. 1~ Sept. 3</th><th>0, 2014</th><th>Jan. 1~ Sept. 3</th><th>0, 2013</th></t<>		Ju	ıly 1~ Sept. 3(), 2014	July 1~ Sept. 3	0, 2013	Jan. 1~ Sept. 3	0, 2014	Jan. 1~ Sept. 3	0, 2013
Integra commuting (Sing 622) 5 97,75 5 12 2 2,30 2 2,4000 5 - Becomes from scattinis basics (Source from scattinis basics (Source from scattinis basics (Source from scattinis basics) 1,500 1 6,500 1 6,600 1 6,600 1 6,600 1 6,600 1 6,600 1 6,600 1 6,600 1 6,600 1 1 6,600 1 1 6,600 1 1 6,600 1 1 1 6,600 1 1 1 6,600 1 <td< th=""><th></th><th>-</th><th></th><th></th><th></th><th></th><th></th><th></th><th></th><th></th></td<>		-								
Ideam 15 12 1 13 1 43 1 Recomes Recomes 16,244 1 33,354 1 0,47,75 2 Delarving considems (Net (22)) 50,329 3 12,271 2 12,871 4 0,471 1 5,860 - Cannet (us) and of trading scenarios (Net (22)) (13,271) 0 14,692 6 9,274 16 0,2740 1 0,0740 2 10,661 10 10,661 10,661 10 10,661 10 10,661 10 10,661 <td< td=""><td>Income:</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></td<>	Income:									
Beams from souths balls 9,7% 1 10,4% 1 33.3% 1 0.407 2 Delawering controls (New C22) 132.99 1 6.017 2 12.89 1 6.610 South Gab on south forming south (New C22) 132.99 1 6.617 2 12.89 1 6.617 2 12.89 1 6.660 5.276 16 52.251 16 52.251 16 52.251 16 52.251 16 52.251 16 52.251 10 10.171.85 20 96.67 21 Dotted memore formed Social scale soc	Brokerage commissions (Note 6(22))	\$	975,754	56	807,474	54	2,774,303	53	2,348,993	54
black space 50.32 3 2.31 2 12.03 2 17.05 4 Gain (hos) ead of inding securities (Net 622) 15.275 10 44.00 37.08 1 5.400 2 10.416 2 10.516 37.08 1 5.400 2 10.417 2 10.516 2 10.516 10 10.556 10 10.516 10 10.516 10 10.556 10 10.556 10 10.556 10 10.556 10 10.556 10.556 10.556 10.556 10.556 10.556 10.556 1	Revenues from securities business money lending		15	-	12	-	53	-	45	-
Contraining on weakh mangement beaks 12.299 1 6.017 - 32.381 1 8.609 - Disk (bid) weak (KC2): 105.2151 0:0 1.0 8.409 2 1.04.21 2 1.04.61 22.571 0:0 1.07.108 20 906.67 2 1.06.61 21.571 0:0 906.67 2 1.06.61 21.571 0:0 906.67 2 1.06.61 90.67 2 1.06.61 90.67 2 1.06.61 90.67 2 1.06.71 0 65.08 0.00 90.89 2 0.00.90 0.00 90.89 2 0.00.90 0.00 90.89 2 0.00.90 0.00 90.89 2 0.00.90 0.00 90.89 2 0.00.90 0.00 90.89 2 0.00.90 0.00 90.89 2 0.00.90 0.00 90.89 2 0.00.90 0.00 90.89 2 0.00.90 2 0.00.90 2 0.00.90 2 0.00.90	Revenues from securities lending		9,796	1	16,244	1	33,524	1	68,347	2
Gain Column of unding controls (Name (CE)) (15) 2719 (3) (4) (4) (4) (2) (10) (2) (2) (10) (10) (10) (1	Underwriting commissions (Note 6(22))		50,329	3	32,713	2	128,907	2	174,735	4
Section magnement, durbation, and management fere 35.250 2 34.669 2 104.211 2 105.201 21 Divident revences 218.557 12 248.278 6 227.982 5 86.044 22 Call (be) on mostering of barrowster of duals carcina and bask with cask agreement 6.707 -0 105.155 10 (450.001 0 0.602.03 11 12.257 6 32.977 12 32.867 11 12.357.41 - Gain (bo) most comment of borned examine and bask with exate agreements 6.707 -0 35.977 2 34.973 8 21.573 10 0.658.07 11 12.357.41 - 6.83.91 - - 3.83.11 - - 3.83.11 - - 8.83.11 - 3.83.11 - - 8.83.11 - - 8.83.11 - - - 8.83.11 - - - 8.83.11 - - - - - - - - -	Commissions on wealth management business		12,299	1	6,017	-	32,788	1	8,660	-
Interest revear (Note 6(2)) 275,83 21 310,654 21 210,085 20 900,673 21 Divide al revear (Note 6(2)) 215,70 12 327,870 10 60,000,01 00 90,889 22 Gin (has) convaries and invalue funcule profix (has) 070,260 (H) 141,277 10 60,000,01 00 90,889 22 Gin (has) convaries and bask with reads agreement 67,797 10 10,803 2 40,413 8 21,613 3 10 63,003 2 40,413 8 21,613 3 10 63,003 2 40,323 10 63,003 10 63,003 10 63,003 10 64,003 10 10,003 10 10,003 10 10,003 10 10,003 10 10,003 10 10,003 10 10,003 10 10,003 10 10,003 10 10,003 10 10,003 10 10,003 10 10,003 10 10,003	Gains (loss) on sale of trading securities (Note 6(22))		(152,715)	(8)	84,692	6	832,784	16	224,511	5
Divident version 21,573 1.2 28,273 6 32,784 5 8,0,04 2 Gain (0.6) on movement of traing screeners 6,709 - (65,550) (10) (48,028) (1) 2,0,004 - Gain (0.6) on movement of brown decamperation and book share agreement 6,709 - 6,53,007 2 4,0,0,345 8 210,150 5 Gain (0.6) on movement of brown decamperation and book share agreement 6,709 - - 5,33,17 - - 6,83,17 - 6,83,18 - - 6,83,18 - - 6,83,18 - - 6,83,18 - - 8,83,18 - - 8,83,18 - - 8,83,18 - - 8,83,18 - - 8,83,18 - - 8,83,18 - - 8,83,18 - - 8,83,18 - - 8,83,18 - - - 8,83,18 - - 1,83,18 - - 1,83,18 -	Securities management, distribution, and management fees		35,250	2	34,659	2	104,421	2	105,616	2
Gain (as) or measurement of targing scutters at fair value large protein of the scale scal	Interest revenue (Note 6(22))									
Gain (as) on overlap of normed scannings and books with weak agreements 6.709 - (15).59 (1) (50.00)	Dividend revenue		218,570	12	82,778	6	247,962	5	86,044	2
Gal (ba) on mean-mean derowed scarilies all back with rule agreements (9.52) (1) (360) $-$ 5.077 1 1.12.74 $-$ Gai (ba) on stack warms iood (New CQ) & (C(3)) 22.718 1 19.106 1 5.225 1 6.408 2 Commission from companeer d charge and veltmeer 1 1.192 - - 4.830 - - 4.8208 2 Gai (ba) on derivative functial instrumes - funcs (Now 624) 110.953 6 4.447 - 2.033 - - 8.8228 - 1.033 - 1.033 - 1.033 - 1.033 - 1.033 - 1.033 - 1.033 - 1.0003 2.00041 0.035,022 1.000 1.00050 2.00121 - 1.032,022 1.001 1.00050 2.00121 - 1.032,032 1.000 1.00050 2.0012 - 1.012,03 1.012,03 1.012,03 1.012,03 1.012,03 1.012,03 1.012,03 1.012,03 1.012,03 1.012,03	Gain (loss) on measurement of trading securities at fair value through profit or loss			(40)	142,787	10				2
Gain (a) works warmin social) (Note, R2(2), R(2)) Both (2) Both	Gain (loss) on covering of borrowed securities and bonds with resale agreements		6,709	-	(15,156)	(1)	(58,028)	(1)	(2,074)	-
Partners 22,71 1 91,04 1 55,33 1 62,068 2 Cannisition for exemption of character function frameware - function (Note (C2)) 100,958 6 44.47 7 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,060 70 90,070 70 70,010 70,020 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030 70 70,030	Gain (loss) on measurement of borrowed securities and bonds with resale agreements		(9,525)	(1)	(869)	-	36,977	1	12,374	-
	Gain (loss) on stock warrants issued (Notes 6(22) & 6(24))		687,579	39	36,273	2	404,345	8	216,150	5
Gain (as) on derivative funcatiol instruments - future (Net (P(2))) 10.0958 6 9.4.47 · 20.800 · 88.225 2 Gain (bas) on derivative funcatiol instruments - OTC (Note (P(2))) 74.233 5 9.99.016 (7) (91.367) (2) (161.512) 1 3 - 163 -	Futures commission revenues		22,791	1	19,104	1	55,243	1	62,608	2
Gali Ross on derivative framesite instruments - OTC (Note 6(24)) 7,428 5 0,000,01 (0) (0,10) (2) (161,512) (4) Management for revenues 41 - 48 103 - 6,337 - 6,337 - 6,337 - 6,337 - 6,359 - 0,000 2 100,214 3 - 6,337 - 6,357 - 6,357 - 6,357 - 6,357 - 6,357 - 6,357 - 6,357 - 6,357 - 6,357 - 100,214 3 - 100,214 3 - 6,357 - 16,351 1 - 508 - 16,151 1 - 16,357 - 16,315 1 - 16,357 - 16,357 - 16,357 - 16,357 - 16,357 - 16,357 - 16,357 - 16,357 - 16,357 - 16,357 - 16,357 - 16,357 - 16,357 - 16,357 - 16,357	Commission from consignment of clearing and settlement		-	-	3,192	-	-	-	8,831	-
Funct administrike servenses .	Gain (loss) on derivative financial instruments - futures (Note 6(24))		110,958	6	4,447	-	20,860	-	86,226	2
Magnetific revenues 41 - 48 - 133 - 133 Adviory commission 1385 2 34.051 2 34.051 3 100,003 2 100,214 3 Other operating revenues 121,51 2 34.051 3 100,003 2 100,214 3 Brokenge and chemig fees - reprictary trading 70,26 4 44,66 6 154,515 5 162,251 1 Clearing and echange fees - indivacting 70,26 4 44,66 6 154,515 7 16,153 16 16,837 7 16,1637 7 16,1637 7 16,165 7 16,165 7 16,165 7 16,157 16 16,177 16,167 7 16,157 16 14,107 14,107 14,103 11,157 2 101,575 3 36,402 115,557 2 10,157 3 13,57 2 10,558 38 19,22,404 10 11,557 <	Gain (loss) on derivative financial instruments - OTC (Note 6(24))		74,283	5	(99,016)	(7)	(91,367)	(2)	(161,512)	(4)
Advance 1.95 - 1.43 - 6.337 - 6.439 - Other operating revenues 34,135 2 34,451 3 100,033 2 100,214 3 Expense: - - - - - - - - - - - - - - - - 1,32,422 100 - 3,23,243 - 1,63,37 - 1,63,15 1 - 1,63,15 1 - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,17 - 1,63,17 - 1,61,15 - - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,15 - 1,63,17 - 1,16,15 - 1,163 -	Futures administrative revenues		-	-	3	-	-	-		-
Ohr operating revenues 34,155 2 34,155 2 34,155 3 100,093 2 109,214 3 Expense: Instance of construction construction of construction construction of construction of con	Management fee revenues		41	-	48	-	193	-	133	-
Lipselines: Lipselines: <thlipselines:< th=""> <thlipselines:< th=""></thlipselines:<></thlipselines:<>	Advisory commissions		1,985	-		-	6,337	-	6,349	-
Exprese: 95,487 6 84,886 6 254,515 5 229,295 5 Brokerage inclaring fees - proprietary trading 7,026 - 4,865 - 16,837 - 16,215 1 Clearing and exchange fees - inflancing 136 - 398 - 1,211 - 1,429 - Clearing and exchange fees - inflancing 1,147 - 222 2,912 - 1,116 - 1,626 - Commission express - futures 49,716 3 27,682 2 115,457 2 103,579 3 Commission express - futures 49,716 3 27,682 2 115,457 2 81,586 0 2 5,586 2 2 0,473,435 3 192,2469 4 Depression express - futures 8,495 1 1,373,593 38 192,249 4 0,486 20 96,524 23 96,524 23 3,597,210 28 3 1,317 1 <td< td=""><td>Other operating revenues</td><td></td><td>34,155</td><td></td><td>34,851</td><td></td><td>100,093</td><td>2</td><td></td><td></td></td<>	Other operating revenues		34,155		34,851		100,093	2		
Biokenge fres 95,887 6 84,886 6 225,315 5 220,295 5 Biokenge and clexing fees - reportentary trading 7,026 - 4,886 - 16,837 - 16,215 1 Clearing and exchange fees - induciving 1,147 - 222 - 2,912 - 1,145 - Clearing and exchange fees - induciving 44,716 3 227,682 2 113,547 2 108,855 2 Commission expense - futures 44,716 3 27,682 2 113,547 2 108,357 3 4 11 - 108,95 3 3 4 11 - 121,78 - 4,111 - 109,729 3 3 4 108,95 20 06x 20 965,324 20 20 965,324 20 20 965,324 20 20 20 20 965,324 20 20 20 965,324 20 20 965,324			1,751,438	100	1,508,390	100	5,250,419	100	4,352,622	100
Brokerge and clearing fes - proprietary trading 7,026 - 4,865 - 16,837 - 16,215 1 Clearing and exchange fes - underwriting 1,147 - 222 - 2,012 - 1,459 - Financial costs 47,095 3 36,402 2 103,272 3 101,895 2 Cormunsion corpers - futures 49,716 3 27,682 2 115,457 2 100,779 3 Chering and extlement expenses 31,937 2 19,031 1 72,561 2 82,590 22 Other openating expension 8,495 1 1,187 - 12,178 4 4111 - Employee benefits expenses (Note 6(22)) 53,556 3 55,667 4 166,974 3 109,219 44 Other one and expenses 1,314,568 76 1,202,320 80 3,313,505 73 3,597,210 83 Other one and expenses 115,570 9 115,571 9 113,417 1 40,613 11 11,515,50 9	Expenses:									
Clearing and exchange fees - refinancing 136 - 598 - 1,211 - 1,439 Clearing and exchange fees - underwring 1,147 - 222 - 2,912 - 1,165 - Financial costs 447,716 3 3,4642 2 115,457 2 100,579 3 Commission expense - futnes 49,716 3 2,7682 2 115,457 2 80,57 2 Other operating expenditure 8,495 1 1,187 - 12,178 - 4,111 - Emprojscience State expenses (Note 6(22)) 646,067 37 647,845 43 19,75,893 38 102,224,69 44 Other operating expenses (Note 6(22)) 37,356 1 1,314,568 73 35,972,10 83 106,219 4 Other operating expenses (Note 6(2)) 15,371 8 173,931,81 1 144,061 1 43,631 1 Other insome and expense 15,170 9 187,048 13 374,831 7 461,159 1 Income tax	Brokerage fees			6	84,686	6	254,515	5	229,295	5
$ \begin{array}{c c c c c c c c c c c c c c c c c c c $	Brokerage and clearing fees - proprietary trading		7,026	-	4,865	-	16,837	-	16,215	1
Financial costs 47,095 3 36,402 2 130,272 3 101,895 2 Commission expense - futures 49,716 3 27,682 2 113,457 2 103,579 3 Commission expenses 84,045 1 1,187 - 12,178 - 4,111 - Employee bendits expenses (Note 6(2)) 646,067 37 647,845 43 1,975,893 38 1922,409 44 Other operating expenses (Note 6(2)) 33,556 3 54,667 4 166,974 366,973 356,562 20 965,242 22 Other operating expenses (Note 6(2)) 33,556 76 1202,320 80 3813,505 73 3597,210 83 Other income and expenses 151,570 9 187,048 13 374,831 7 461,150 11 Share of profits of associates and joint venture (Note 6(6)) 16,199 1 13,117 1 49,061 1 43,631 1 Other micm and expenses 155,771 8 172,931 12 232,770 6	Clearing and exchange fees - refinancing		136	-	598	-	1,211	-	1,439	-
Commission expense - futures 49,716 3 27,682 2 115,457 2 103,579 3 Charing and settlement expenses 31,937 2 19,031 1 72,261 2 82,808 2 Other operating expenditure 8,495 1 1,187 - 12,178 3 38 1922,469 44 Depreciation & amorization expenses (Note 6(22)) 53,656 3 54,667 4 166,974 3 169,219 42 Other operating expensiture 33,3505 73 35,972,10 83 Other income and expenses 114,568 76 1,202,320 80 3,813,505 73 3,597,210 83 Other operating expensitor 16,199 1 1,117 1 49,061 1 43,631 1 Other operating expensitor 153,770 187,7048 13 37,833 12 252,770 6 417,519 10 Other operating expensitor 153,770 187,7048 13 31,811,745 34 1,216,562 28 Income before tax 588,440<			1,417	-						-
Clearing and settlement expenses 31,937 2 19,031 1 72,561 2 82,850 2 Other operating expensitive sepness (Note 6(22)) 84,095 1 1,187 - 12,178 - 4,111 - Employee benetics expenses (Note 6(22)) 53,656 3 54,667 4 166,974 3 169,219 4 Other operating expenses (Note 6(22)) 373,535 21 325,135 22 1,046,469 20 965,242 22 Other income and expenses 76 1,202,320 80 3,813,505 73 3,597,210 83 Other income and expenses 1 1,117 1 49,061 1 43,631 1 Other of porting operating expenses (Note 6(2)) 16,199 1 13,117 1 49,061 1 43,631 1 Other of porting operating expenses (Note 6(2)) 16,159 1 13,1570 9 187,048 13 374,831 7 46,150 11 Income tax for (619) 512,155 29 461,481 31 1,626,938 30 1,0	Financial costs		47,095							
Other operating expendiure 8,495 1 1,187 - 12,178 - 4,111 Employee benefits expenses (Note 6(22)) 646,007 37 647,845 43 1.975,893 38 1.922,469 44 Other operating expenses (Note 6(22)) 53,556 3 54,667 4 166,095 20 965,242 22 Other income and expenses 13,14,568 76 1,202,320 80 3,813,055 73 3,597,110 83 Other income and expenses 16,199 1 13,117 1 49,061 1 43,631 11 Other gains and losses (Note 6(2)) 135,577 8 173,931 12 325,770 6 417,519 10 Income tore tax 558,440 33 493,118 33 1.811,745 34 1.216,562 28 Income to effore tax 16,562 20 461,481 31 1.626,988 30 1.063,848 24 Other comprehensive income (Note 6(19)) 16,525 2	-									
$ \begin{array}{c c c c c c c c c c c c c c c c c c c $	Clearing and settlement expenses		31,937		19,031	1	72,561	2	82,580	2
$\begin{array}{c c c c c c c c c c c c c c c c c c c $	Other operating expenditure		8,495	1	1,187	-	12,178	-	4,111	-
Other operating expenses (Note 6(22)) 373,536 21 325,135 22 1,064,695 20 965,242 22 Other income and expenses 1,314,568 76 1,202,320 80 3,813,505 73 3,597,210 83 Other gains and losses (Note 6(22)) 135,371 8 173,931 12 325,770 6 417,519 10 Income before tax 151,370 9 187,048 13 374,831 7 461,150 11 Income tax expense (Note 6(19)) (76,285) (4) (31,637) (2) (184,807) (4) (153,079) (4) Net income 512,155 29 461,481 31 1,626,938 30 1,063,483 24 Other comprehensive income : Exchange differences on translation of foreign operations 34,871 2 (26,075) (2) 35,113 32,119 1 Increalized gain of los on available- for sule financial assets 7,828 (2,776) 1,240 51,404 1 Increalized gain of los on availabl	Employee benefits expenses (Note 6(22))		646,067		647,845					44
$\begin{array}{c c c c c c c c c c c c c c c c c c c $	Depreciation & amortization expenses (Note 6(22))		53,656	3	54,667	4	166,974	3	169,219	4
Other income and expenses Income and expenses Income and expenses Income and expenses Share of profits of associates and joint venture (Note 6(6)) 16,199 1 13,117 1 49,061 1 43,631 1 Other gains and losses (Note 6(22)) 135,371 8 173,931 12 325,770 6 417,519 11 Income before tax 588,440 33 493,118 33 1,811,745 34 1,216,562 28 Income tax expense (Note 6(19)) (76,285) (4) (31,637) (2) (184,807) (4) (153,079) (4) Net income 512,155 29 461,481 31 1,626,938 30 1,063,483 24 Other comprehensive income : Exchange differences on translation of foreign operations 34,871 2 (26,075) (2) 35,113 1 32,119 1 Unrealized gain or loss on available-for-sale financial assets 7,828 (2,776) 1,240 51,400 1 Other comprehensive income for the period, net of income tax <	Other operating expenses (Note 6(22))			21			1,064,695		965,242	
Share of profits of associates and joint venture (Note 6(6)) 16,199 1 13,117 1 49,061 1 43,631 1 Other gains and losses (Note 6(22)) 135,771 8 173,931 12 325,770 6 417,519 10 Income before tax 588,440 33 493,118 33 1.81,745 34 1.21(5,562 28 Income tax expense (Note 6(19)) (76,285) (4) (31,637) (2) (184,807) (4) (153,079) (4) Net income 512,155 29 461,481 31 1.626,938 30 1.063,483 24 Other comprehensive income : 2 (26,075) (2) 35,113 1 32,119 1 Income tax expense (inferences on available-for-sale financial assets 7,828 - (2,776) - 1,240 - 51,404 1 Income tax financial assets 7,828 - (2,776) - 1,240 - 51,404 1 Income tax expense income for the period, net of income tax 36,447 2 (24,418) (2) 30,006 1 </td <td></td> <td></td> <td>1,314,568</td> <td>76</td> <td>1,202,320</td> <td>80</td> <td>3,813,505</td> <td>73</td> <td>3,597,210</td> <td>83</td>			1,314,568	76	1,202,320	80	3,813,505	73	3,597,210	83
Other gains and losses (Note 6(22))135,3718173,93112325,7706417,51910Income before tax588,4033493,11833374,8317461,15011Income before tax588,4033493,118331,811,745341,216,56228Income tax expense (Note 6(19))(76,285)(4)(31,637)(2)(184,807)(4)(153,079)(4)Net income :52,215529461,481311,626,938301,063,48324Other comprehensive income :Exchange differences on translation of foreign operations34,8712(26,075)(2)35,113132,1191Income tax benefit related to components of other comprehensive income (Note 6(19))(6,252)-44,33-(6,293)-(5,460)-Other comprehensive income for the period, net of income tax36,4472(24,418)(2)30,000178,0632Total comprehensive income for the period5548,60231437,063291,565,998311,141,54626Shareholders of the parent\$495,16328411,731271,580,926301,063,48324Non-controlling interests553,439325,332276,072183,5722Shareholders of the parent\$495,16328411,731271,580,926301,057,97424Non-con	-									
$ \begin{array}{ c c c c c c c c c c c c c c c c c c c$	* * · · · · · · · · · · · · · · · · · ·									
Income before tax $588,440$ 33 $493,118$ 33 $1,811,745$ 34 $1,216,562$ 28 Income tax expense (Note 6(19)) $(76,285)$ (4) $(31,637)$ (2) $(184,807)$ (4) $(153,079)$ (4) Net income $512,155$ 29 $461,481$ 31 $1,626,938$ 30 $1,063,483$ 24 Other comprehensive income :Exchange differences on translation of foreign operations $34,871$ 2 $(26,075)$ (2) $35,113$ 1 $32,119$ 1 Unrealized gain or loss on available-for-sale financial assets $7,828$ $ (2,776)$ $ 1,240$ $ 51,404$ 1 Income tax benefit related to components of other comprehensive income (Note 6(19)) $(6,252)$ $ 4.433$ $ (62,93)$ $ (5,460)$ $-$ Other comprehensive income for the period $36,447$ 2 $(24,418)$ (2) $30,060$ 1 $78,063$ 22 Total comprehensive income for the period 5 $548,602$ 31 $437,063$ 29 $1,549,840$ 29 $989,492$ 22 Non-controlling interests 5 $512,155$ 29 $461,481$ 31 $1,626,938$ 30 $1,063,483$ 24 Other comprehensive income attributable to : 5 $512,155$ 29 $441,416$ 29 $989,492$ 22 Non-controlling interests 5 $512,155$ 29 $414,181$ 31 $1,626,938$ 30 $1,0$	Other gains and losses (Note 6(22))									
Income tax expense (Note 6(19)) (76,285) (4) (31,637) (2) (184,807) (4) (153,079) (4) Net income 512,155 29 461,481 31 1,626,938 30 1,063,483 24 Other comprehensive income : Exchange differences on translation of foreign operations 34,871 2 (26,075) (2) 35,113 1 32,119 1 Income tax benefit related to components of other comprehensive income (Note 6(19)) (6,252) - 44.33 - (6,293) - (5,460) - Other comprehensive income for the period, net of income tax 36,447 2 (24,418) (2) 30,060 1 78,063 2 Other comprehensive income for the period \$ 548,602 31 437,063 29 1,549,840 29 989,492 22 Shareholders of the parent \$ 461,641 26 434,106 29 1,549,840 29 989,492 22 Shareholders of the parent \$ 495,163 28 411,731 27 7,580,926 30 1,063,483 24 Non-controlling interests			·					<u> </u>		
Net income 512,155 29 461,481 31 1,626,938 30 1,063,483 24 Other comprehensive income : Exchange differences on translation of foreign operations 34,871 2 (26,075) (2) 35,113 1 32,2119 1 Unrealized gain or loss on available-for-sale financial assets 7,828 (2,776) 1,240 51,404 1 Income tax benefit related to components of other comprehensive income (Note 6(19)) (6,252) 4,433 (2) 30,060 1 78,063 2 Other comprehensive income for the period \$ 548,602 31 437,063 29 1,656,998 31 1,141,546 26 Total comprehensive income for the period \$ 461,641 26 434,106 29 1,656,998 31 1,141,546 26 Shareholders of the parent \$ 461,641 26 434,106 29 1,859,926 30 1,063,483 24 Non-controlling interests \$ 512,155 29 461,481 31 1,626,938 30 1,063,483 24 Non-controlling interests \$ 495,163 28 411,731<										
Other comprehensive income : Description of foreign operations 34,871 2 (26,075) (2) 35,113 1 32,119 1 Unrealized gain or loss on available-for-sale financial assets 7,828 - (2,6,075) (2) 35,113 1 32,119 1 Unrealized gain or loss on available-for-sale financial assets 7,828 - (2,776) - 1,240 - 51,404 1 Income tax benefit related to components of other comprehensive income (Note 6(19)) (6,252) - 4,433 - (5,460) - Total comprehensive income for the period 3 34,871 2 (24,418) (2) 30,060 1 7,666,928 31 1,141,546 26 Total comprehensive income attributable to : Shareholders of the parent <td>• • • • •</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td>	• • • • •									
Exchange differences on translation of foreign operations 34,871 2 (26,075) (2) 35,113 1 32,119 1 Unrealized gain or loss on available-for-sale financial assets 7,828 - (2,776) - 1,240 - 51,404 1 Income tax benefit related to components of other comprehensive income (Note 6(19)) (6,252) - 4,433 - (6,293) - (5,460) - Other comprehensive income for the period \$ 548,602 31 437,063 29 1,566,998 31 1,141,546 26 Total comprehensive income for the period \$ \$ 548,602 31 437,063 29 1,549,840 29 989,492 22 Non-controlling interests 50,514 3 27,375 2 77,098 1 73,991 2 Shareholders of the parent \$ 495,163 28 411,731 27 1,580,926 30 1,063,483 24 Non-controlling interests \$ 495,163 28 411,731 27 1,580,926 30 1,057,974 24 Non-co	Net income		512,155	29	461,481	31	1,626,938	30	1,063,483	24
Exchange differences on translation of foreign operations 34,871 2 (26,075) (2) 35,113 1 32,119 1 Unrealized gain or loss on available-for-sale financial assets 7,828 - (2,776) - 1,240 - 51,404 1 Income tax benefit related to components of other comprehensive income (Note 6(19)) (6,252) - 4,433 - (6,293) - (5,460) - Other comprehensive income for the period \$ 548,602 31 437,063 29 1,566,998 31 1,141,546 26 Total comprehensive income for the period \$ \$ 548,602 31 437,063 29 1,549,840 29 989,492 22 Non-controlling interests 50,514 3 27,375 2 77,098 1 73,991 2 Shareholders of the parent \$ 495,163 28 411,731 27 1,580,926 30 1,063,483 24 Non-controlling interests \$ 495,163 28 411,731 27 1,580,926 30 1,057,974 24 Non-co										
Unrealized gain or loss on available-for-sale financial assets 7.828 - (2,776) - 1,240 - 51,404 1 Income tax benefit related to components of other comprehensive income (Note 6(19)) (6,252) - 4,433 - (6,293) - (5,460) - Other comprehensive income for the period, net of income tax 36,447 2 (24,418) (2) 30,060 1 78,063 2 Total comprehensive income for the period \$ 548,602 31 437,063 29 1,549,840 29 989,492 22 Total income attributable to : .	-		24.071	2	(26.075)		25 112		22.110	
Income tax benefit related to components of other comprehensive income (Note 6(19)) (6,252) - 4,433 - (6,293) - (5,460) - Other comprehensive income for the period 36,447 2 (24,418) (2) 30,060 1 78,063 2 Total comprehensive income for the period \$ 548,602 31 437,063 29 1,656,998 31 1,141,546 26 Total income attributable to : Stareholders of the parent \$ 461,641 26 434,106 29 1,549,840 29 989,492 22 Non-controlling interests 50,514 3 27,375 2 77,098 1 73,991 2 Shareholders of the parent \$ 495,163 28 411,731 27 1,580,926 30 1,057,974 24 Non-controlling interests \$ 495,163 28 411,731 27 1,580,926 30 1,057,974 24 Non-controlling interests \$ 53,439 3 25,332 2 76,072 1 83,572 2 \$ 548,602				2				1		
Other comprehensive income for the period, net of income tax $36,447$ 2 $(24,418)$ (2) $30,060$ 1 $78,063$ 2Total comprehensive income for the period\$ 548,60231 $437,063$ 29 $1,656,998$ 31 $1,141,546$ 26Total income attributable to :Shareholders of the parent\$ 461,64126 $434,106$ 29 $1,549,840$ 29 $989,492$ 22Non-controlling interests $50,514$ 3 $27,375$ 2 $77,098$ 1 $73,991$ 2Shareholders of the parent\$ 495,16328 $411,731$ 27 $1,580,926$ 30 $1,057,974$ 24Non-controlling interestsShareholders of the parent\$ 495,16328 $411,731$ 27 $1,580,926$ 30 $1,057,974$ 24Non-controlling interests $53,439$ 3 $25,332$ 2 $76,072$ 1 $83,572$ 2Shareholders of the parentNon-controlling interestsShareholders of the parentShareholders of the parentS $495,163$ 28 $411,731$ 27 $1,580,926$ 30 $1,057,974$ 24 Non-controlling interestsShareholders of the parent $53,439$ 3 $25,332$ 2 $76,072$ 1 $83,572$ 2 Shareholders of the parent (Note 6(21)) $$ 0.1$	-			-		-		-		1
Total comprehensive income for the period \$ 548,602 31 437,063 29 1,656,998 31 1,141,546 26 Total income attributable to : Shareholders of the parent \$ 461,641 26 434,106 29 1,549,840 29 989,492 22 Non-controlling interests 50,514 3 27,375 2 77,098 1 73,991 2 Shareholders of the parent \$ 495,163 28 411,731 27 1,580,926 30 1,063,483 24 Shareholders of the parent \$ 495,163 28 411,731 27 1,580,926 30 1,057,974 24 Non-controlling interests 53,439 3 25,332 2 76,072 1 83,572 2 Shareholders of the parent \$ 548,602 31 437,063 29 1,656,998 31 1,141,546 26 Basic earnings per share (Note 6(21)) \$ 0.19 0.19 0.65 0.42						-				-
Total income attributable to : \$ 461,641 26 434,106 29 1,549,840 29 989,492 22 Non-controlling interests 50,514 3 27,375 2 77,098 1 73,991 2 Yon-controlling interests 50,514 3 27,375 2 77,098 1 73,991 2 Total comprehensive income attributable to : Stareholders of the parent \$ 495,163 28 411,731 27 1,580,926 30 1,063,483 24 Non-controlling interests 53,439 3 25,332 2 76,072 1 83,572 2 State carnings per share (Note 6(21)) \$ 0.19 0.19 0.65 0.42										
Shareholders of the parent \$ 461,641 26 434,106 29 1,549,840 29 989,492 22 Non-controlling interests 50,514 3 27,375 2 77,098 1 73,991 2 Yon-controlling interests 50,514 3 27,375 2 77,098 1 73,991 2 Total comprehensive income attributable to : Shareholders of the parent \$ 495,163 28 411,731 27 1,580,926 30 1,057,974 24 Non-controlling interests 53,439 3 25,332 2 76,072 1 83,572 2 State carnings per share (Note 6(21)) \$ 0.19 0.19 0.65 0.42		\$	548,602	31	437,063	29	1,656,998	31	1,141,546	26
Non-controlling interests 50,514 3 27,375 2 77,098 1 73,991 2 Yon-controlling interests 50,514 3 27,375 2 77,098 1 73,991 2 Total comprehensive income attributable to : Shareholders of the parent \$ 495,163 28 411,731 27 1,580,926 30 1,063,483 24 Non-controlling interests 53,439 3 25,332 2 76,072 1 83,572 2 Basic earnings per share (Note 6(21)) \$ 0.19 0.19 0.65 0.42		¢		24	121.107	20	1 5 40 0 40	20	000 102	22
\$ 512,155 29 461,481 31 1,626,938 30 1,063,483 24 Total comprehensive income attributable to : Shareholders of the parent \$ 495,163 28 411,731 27 1,580,926 30 1,057,974 24 Non-controlling interests 53,439 3 25,332 2 76,072 1 83,572 2 \$ 548,602 31 437,063 29 1,656,998 31 1,141,546 26 Basic earnings per share (Note 6(21)) \$ 0.19 0.19 0.65 0.42	-	\$								
Total comprehensive income attributable to : Shareholders of the parent \$ 495,163 28 411,731 27 1,580,926 30 1,057,974 24 Non-controlling interests 53,439 3 25,332 2 76,072 1 83,572 2 \$ 548,602 31 437,063 29 1,656,998 31 1,141,546 26 Basic earnings per share (Note 6(21)) \$ 0.19 0.19 0.65 0.42	Non-controlling interests									
Shareholders of the parent \$ 495,163 28 411,731 27 1,580,926 30 1,057,974 24 Non-controlling interests 53,439 3 25,332 2 76,072 1 83,572 2 \$ 548,602 31 437,063 29 1,656,998 31 1,141,546 26 Basic earnings per share (Note 6(21)) \$ 0.19 0.19 0.65 0.42		\$	512,155	29	461,481	31	1,626,938	30	1,063,483	24
Non-controlling interests 53,439 3 25,332 2 76,072 1 83,572 2 \$ 548,602 31 437,063 29 1,656,998 31 1,141,546 26 Basic earnings per share (Note 6(21)) \$ 0.19 0.19 0.65 0.42	-	÷	105 1 15						1 05- 0- 1	.
\$ 548,602 31 437,063 29 1,656,998 31 1,141,546 26 Basic earnings per share (Note 6(21)) \$ 0.19 0.19 0.65 0.42	*	\$								
Basic earnings per share (Note 6(21)) \$ 0.19 0.19 0.65 0.42	Non-controlling interests									
		\$	548,602	31	437,063	29	1,656,998	31	1,141,546	26
		đ		0.10		0.10		0.75		0.42
Dinuced earnings per snare (Note 0(21))		\$								
	Diruccu carmings per snare (note 0(21))	\$		0.19		0.19		0.05		0.42

CAPITAL SECURITIES CORPORATION CONSOLIDATED STATEMENTS OF CHANGES IN EQUITY Years Ended September 30, 2014 and 2013 (New Taiwan Dollars in Thousands) (Unaudited)

				Equity attribu	table to shareholders	s of the parent				
				Retained earning	s	Ot	hers			
	Common stock	Capital surplus	Legal reserve	Special reserve	Unappropriated earnings	Exchange differences on translation of foreign operations	Unrealized gain or loss on available-for- sale financial assets	Equity attributable to shareholders of the parent	non-controlling interests	Total equity
Balance, January 1, 2013	\$ 23,690,730	2,705,473	500,532	1,281,093	750,679	(56,638)	(32,759)	28,839,110	740,785	29,579,895
Net income for the nine months ended September 30, 2013	-	-	-	-	989,492	-	-	989,492	73,991	1,063,483
Other comprehensive income for the nine months ended September 30, 2013	-	-	-	-	-	25,509	42,973	68,482	9,581	78,063
Total comprehensive income for the nine months ended September 30, 2013	-	-	-	-	989,492	25,509	42,973	1,057,974	83,572	1,141,546
Appropriations of prior year's earnings :										
Legal reserve	-	-	105,426	-	(105,426)	-	-	-	-	-
Special reserve	-	-	-	347,225	(347,225)	-	-	-	-	-
Cash dividends	-	-	-	-	(355,361)	-	-	(355,361)	(32,346)	(387,707)
Balance, September 30, 2013	\$ 23,690,730	2,705,473	605,958	1,628,318	932,159	(31,129)	10,214	29,541,723	792,011	30,333,734
Balance, January 1, 2014	\$ 23,690,730	2,705,473	605,958	1,628,318	1,423,960	(19,525)	12,603	30,047,517	819,676	30,867,193
Net income for the nine months ended September 30, 2014	-	-	-	-	1,549,840	-	-	1,549,840	77,098	1,626,938
Other comprehensive income for the nine months ended September 30, 2014	-	-	-	-	-	29,509	1,577	31,086	(1,026)	30,060
Total comprehensive income for the nine months ended September 30, 2014		-	-	-	1,549,840	29,509	1,577	1,580,926	76,072	1,656,998
Appropriations of prior year's earnings :										
Legal reserve	-	-	147,178	-	(147,178)	-	-	-	-	-
Special reserve	-	-	-	294,357	(294,357)	-	-	-	-	-
Cash dividends	-	-	-	-	(1,066,083)	-	-	(1,066,083)	(73,438)	(1,139,521)
Difference between consideration and carrying amount of subsidiaries disposed	-	143	-	-	-	-	-	143	-	143
Changes in ownership interests in subsidiaries	-	6,287	-	-	-	-	-	6,287	-	6,287
Reversal of special reserve for deduction of stockholders' equity	-	-	-	(166,392)	166,392	-	-	-	-	-
Increase (decrease) in non-controlling interests	-	-	-	-	-	-	-	-	253,642	253,642
Balance, September 30, 2014	\$ 23,690,730	2,711,903	753,136	1,756,283	1,632,574	9,984	14,180	30,568,790	1,075,952	31,644,742

CAPITAL SECURITIES CORPORATION CONSOLIDATED STATEMENTS OF CASH FLOWS Years Ended September 30, 2014 and 2013 (New Taiwan Dollars in Thousands)

Cash lows from operating activities: Income body income tax for the period Adjustments for: Income and expenses Amotization expense Amotization expense Amotization expense Antication expense Anticat	\$ 1,811,745 137,111 29,863 450,061 126,683 130,272 (1,159,780) (49,061) (2,999) - - 6,604 (7,34,276) (6,914,745) - (6,914,745) - (3,568,959) 182,815 150,424 (3,70) (2,044,931) (2,644,931) (2,8110) 917,539 3,117 1,774,575 1,774,575 1,6971) 23,687 119 (1,266,174) 44,813 18,781 14,378	1,216,562 140,739 28,480 (90,889) (16,161) 101,895 (987,273) (120,997) 44,517 (43,631) 183 (755) (943,212) (3,903,568) 214,454 1,199,670 (4,338,578) (15,759) (20,045) - 731,145 33,840 (1,03,223) 6,649 (3,206,239) (7,190) 106,269 20,514
Adjustments for: Income and expresses having no effects on cash flows Depreciation expense Amorization expense Met Loss (gain) on financial assets or liabilities at fair value through profit or loss Interest expenses Interest revense Dividend income Cash dividend received from long-term investments under equity method Share of profits of associates and joint venture Loss (gain) on disposal of property and equipments Reversal of allowance on bad debts Share bad profits of associates and joint venture Decrease (increase) in financial assets and liabilities: Decrease (increase) in financial assets and liabilities: Decrease (increase) in sublable for-scale financial assets Decrease (increase) in tradical assets and liabilities: Decrease (increase) in receivable for scalifies provided as collateral Decrease (increase) in receivable for scalifies provided as collateral Decrease (increase) in receivable on securities brosines money lending Decrease (increase) in incolatal steps at fair value through profit or loss Decrease (increase) in incolatal steps at fair value through rofit as loss Decrease (increase) in incolatal steps at fair value through rofit as loss Decrease (increase) in incolating margin	137,111 29,863 450,061 126,683 130,272 (1,159,780) (452,980) (452,980) (49,061) (2,999) - - 6,604 (734,276) (3,664 (734,276) (3,668,574 (3,568,959) 182,815 150,424 (370) (2,044,931) (28,110) 917,539 3,117 1,774,575 (1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378	140,739 28,480 (90,889) (16,161) 101,895 (987,273) (120,997) 44,517 (43,631) 183 (75) - - (943,212) (943,212) (943,212) (943,212) (943,212) (943,212) (943,212) (943,212) (1,99,670 (4,338,578) (15,799) (20,045) - 731,145 33,480 (1,030,223) (6,649) (3,206,239) (7,190) (106,269)
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Net Loss (gain) on on-operating financial instruments at fair value through profit or loss Interest revenue Dividend income Cash dividend received from long-term investments under equity method Share of profits of associates and joint venture Loss (gain) on disposal of property and equipment Reversal of allowance on bad debts Share based payments Net changes of locome and expenses having no effects on cash flows Changes in operating assets: Decrease (increase) in financial assets at fair value through profit or loss Decrease (increase) in noting before sourcitles provided as collateral Decrease (increase) in receivable on erfinancing collateral Decrease (increase) in incustomes margin account Decrease (increase) in incustomes reavisable Decrease (increase) in customes reavisable Decrease (increase) in incustomes reavisable Decrease (increase) in customes margin account Decrease (increase) in customes reavisable Decrease (increase) in incustomes reavisable Decrease (increase) in customes receivable Decrease (increase) in intother cevisable	450,061 126,683 130,272 (1,159,780) (452,980) (452,980) (2,999) - - - - - - - - - - - - -	(90,889) ((6,161) 101,895 ((987,273) (120,997) 44,517 (43,631) 183 (75) - - (943,212) (943,212) (3,903,568) 214,454 1,199,670 (4,338,578) (15,759) (20,045) - 731,145 33,480 (1,030,223) (6,649) (3,206,239) (7,190) (7,190)
Net Loss (gain) on non-operating financial instruments at fair value through profit or loss Interest expenses Interest expenses Dividend income Cash dividend received from long-term investments under equity method Share of profits of associates and joint venture Loss (gain) on disposal of property and equipment Reversal of allowance on had debts Share based payments Net changes of operating assets Net changes of operating assets Decrease (increase) in financial assets at fair value through profit or loss Decrease (increase) in eximal assets at fair value through profit or loss Decrease (increase) in receivable for securities provided as collateral Decrease (increase) in receivable on securities bornoved Decrease (increase) in receivable on securities bornoved Decrease (increase) in incolated for securities bornoved Decrease (increase) in acounts receivable Decrease (increase) in incolateral for securities bornoved Decrease (increase) in incolateral for securitis bornoved </td <td>126,683 130,272 (1,159,780) (452,980) (49,061) (2,999) - - - 6,604 (7,34,276) (6,914,745) - - (6,914,745) - - (3,568,959) 182,815 150,424 (3,768,959) 182,815 150,424 (3,768,959) 182,815 150,424 (3,761,745) (1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378</td> <td>(16,161) 101,895 (987,273) (120,997) 44,517 (43,631) 183 (75) - (943,212) (3,903,568) 214,454 1,199,670 (4,338,578) (15,759) (20,045) - 731,145 33,480 (1,030,223) 6,649 (3,206,239) (7,190) 106,269</td>	126,683 130,272 (1,159,780) (452,980) (49,061) (2,999) - - - 6,604 (7,34,276) (6,914,745) - - (6,914,745) - - (3,568,959) 182,815 150,424 (3,768,959) 182,815 150,424 (3,768,959) 182,815 150,424 (3,761,745) (1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378	(16,161) 101,895 (987,273) (120,997) 44,517 (43,631) 183 (75) - (943,212) (3,903,568) 214,454 1,199,670 (4,338,578) (15,759) (20,045) - 731,145 33,480 (1,030,223) 6,649 (3,206,239) (7,190) 106,269
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Changes in operating assets and liabilities: Net changes of operating assets: Decrease (increase) in financial assets af financial assets Decrease (increase) in available-for-safe financial assets Decrease (increase) in available-for-safe financial assets Decrease (increase) in receivable for securities provided as collateral Decrease (increase) in receivable on refinancing margin Decrease (increase) in cuctivable on securities business money lending Decrease (increase) in customers margin account Decrease (increase) in customers margin account Decrease (increase) in customers margin account Decrease (increase) in customers margin accounts Decrease (increase) in outs receivable Decrease (increase) in other cucrentalses Decrease (increase) in other cucrent assets Decrease (increase) in other cucrent assets Decrease (increase) in other on-current assets Decrease (increase) in other on-current assets Decrease (increase) in other on-current assets	(6,914,745) 68,574 (3,568,959) 182,815 150,424 (370) (2,044,931) (28,110) 917,539 3,117 1,774,575 (1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378	(3,903,568) 214,454 1,199,670 (4,338,578) (20,045) - 731,145 33,480 (1,030,223) 6,649 (3,206,239) (7,190) 106,269
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Decrease (increase) in receivable for securities provided as collateral Decrease (increase) in receivable on refinancing collateral Decrease (increase) in receivable on securities business money lending Decrease (increase) in receivable on securities business money lending Decrease (increase) in receivable on securities borrowed Decrease (increase) in collateral for securities borrowed Decrease (increase) in securities borrowed Decrease (increase) in accounts receivable Decrease (increase) in accounts receivable Decrease (increase) in accounts receivable Decrease (increase) in accounts receivable Decrease (increase) in other receivables Decrease (increase) in other receivables Decrease (increase) in other receivables Decrease (increase) in gregayments Decrease (increase) in other receivables Decrease (increase) in decounts receivables Decrease (increase) in other receivables Decrease (increase) in other receivables Decrease (increase) in other current assets Decrease (increase) in other non-current assets Decrease (increase) in in financial liabilities at fair value through profit or loss Increase (decrease) in sould under reparchase agreements Increase (decrease) in prodeside for short sales Increase (decrease) in graved positel for short sales Increase (decrease) in graventy deposited for short sales Increase (decrease) in graventy leposited for short sales Increase (decrease) in graventy leposited for short sales Increase (decrease) in functional payable from short sales Increase (decrease) in other sayable Increase (decrease) in davance receipts	(3,568,959) 182,815 150,424 (370) (2,044,931) (28,110) 917,539 3,117 1,774,575 (1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378	1,199,670 (4,338,578) (15,759) (20,045) - 731,145 33,480 (1,030,223) 6,649 (3,206,239) (7,190) 106,269
Decrease (increase) in receivable for securities provided as collateral Decrease (increase) in receivable on refinancing collateral Decrease (increase) in receivable on securities business money lending Decrease (increase) in collateral for securities business money lending Decrease (increase) in collateral for securities business money lending Decrease (increase) in collateral for securities borrowed Decrease (increase) in collateral for securities borrowed Decrease (increase) in acounts receivable Decrease (increase) in acounts receivable Decrease (increase) in other receivables Decrease (increase) in other nore urrent assets Decrease (increase) in other non-current assets Decrease (increase) in fondable deposits Increase (decrease) in guaranty deposited for short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in induster sequity Increase (decrease) in induster payable	(3,568,959) 182,815 150,424 (370) (2,044,931) (28,110) 917,539 3,117 1,774,575 (1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378	(4,338,578) (15,79) (20,045) - 731,145 33,480 (1,030,223) (6,49) (3,206,239) (7,190) 106,269
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Decrease (increase) in receivable on refinancing collateral Decrease (increase) in customers margin account Decrease (increase) in cultarent for securities borinved Decrease (increase) in collateral for securities borrowed Decrease (increase) in collateral for securities borrowed Decrease (increase) in security borrowing margin Decrease (increase) in costs receivable Decrease (increase) in outs receivable Decrease (increase) in other receivable Decrease (increase) in other cevirable Decrease (increase) in other cevirables Decrease (increase) in other cevirables Decrease (increase) in other current assets Decrease (increase) in other current assets Decrease (increase) in other current assets Decrease (increase) in refinable deposits Decrease (increase) in other ourrent assets Decrease (increase) in other on-current assets Decrease (increase) in settlement fund Decrease (increase) in other on-current assets Changes in operating assets: Net changes of operating liabilities: Increase (decrease) in bonds sold under repurchase agreements Increase (decrease) in proceeds payable from short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in in securities lending refundable deposits Increase (decrease) in in turnes traders' equity Increase (decrease) in duvance receipts	150,424 (370) (2,044,931) (28,110) 917,539 3,117 1,774,575 (1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378	(20,045) - 731,145 33,480 (1,030,223) 6,649 (3,206,239) (7,190) 106,269
Decrease (increase) in receivable on securities business money lending Decrease (increase) in collateral for securities borrowed Decrease (increase) in collerateral for securities borrowed Decrease (increase) in notes receivable Decrease (increase) in accounts receivable Decrease (increase) in other receivable Decrease (increase) in other receivables Decrease (increase) in other receivables Decrease (increase) in other receivables Decrease (increase) in other current assets Decrease (increase) in settlement fund Decrease (increase) in settlement fund Decrease (increase) in other current assets Decrease (increase) in other current assets Decrease (increase) in other non-current assets Decrease (increase) in other current assets Decrease (increase) in settlement fund Decrease (increase) in other current assets Decrease (increase) in other ono-current assets Decrease (increase) in other cono-current assets Decrease (increase) in other source assets Decrease (increase) in financial liabilities at fair value through profit or loss Increase (decrease) in guaranty deposited for short asles Increase (decrease) in guaranty deposited for short sales Increase (decrease) in guaranty deposited for short sales Increase (decrease) in proceed payable from short sales Increase (decrease) in functioner equity Increase (decrease) in inter supple Increase (decrease) in inter anders' equity Increase (decrease) in inter anders' equity Increase (decrease) in inter anders' equity Increase (decrease) in accounts payable Incre	(370) (2,044,931) (28,110) 917,539 3,117 1,774,575 (1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378	- 731,145 33,480 (1,030,223) 6,649 (3,206,239) (7,190) 106,269
Decrease (increase) in cultareal for securities borrowed Decrease (increase) in notes receivable Decrease (increase) in notes receivable Decrease (increase) in notes receivable Decrease (increase) in other receivables Decrease (increase) in other receivables Decrease (increase) in other current assets Decrease (increase) in other current assets Decrease (increase) in settlement fund Decrease (increase) in settlement fund Decrease (increase) in settlement fund Decrease (increase) in other non-current assets Decrease (increase) in settlement fund Decrease (increase) in fundable deposits Decrease (increase) in fundable deposits Decrease (increase) in fundable deposits Decrease (increase) in financial liabilities Decrease (increase) in financial liabilities Decrease (increase) in formation and the set of th	(2,044,931) (28,110) 917,539 3,117 1,774,575 (1,697) 22,687 119 (1,266,174) 44,813 18,781 14,378	33,480 (1,030,223) 6,649 (3,206,239) (7,190) 106,269
Decrease (increase) in collateral for securities borrowed Decrease (increase) in accounts receivable Decrease (increase) in accounts receivable Decrease (increase) in prepayments Decrease (increase) in other receivables Decrease (increase) in other cecivables Decrease (increase) in other current assets Decrease (increase) in other current assets Decrease (increase) in other current assets Decrease (increase) in settlement fund Decrease (increase) in other ourrent assets Decrease (increase) in futurent assets Decrease (increase) in futurent issets Changes in operating assets: Net changes of operating liabilities: Increase (decrease) in infancial liabilities at fair value through profit or loss Increase (decrease) in proceeds payable from short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in futures traders' equity Increase (decrease) in futures traders' equity Increase (decrease) in not payable Increase (decrease) in not payable Increase (decrease) in accurating payable Increase (decrease) in accurating payable Increase (decrease) in advance receipts	(28,110) 917,539 3,117 1,774,575 (1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378	33,480 (1,030,223) 6,649 (3,206,239) (7,190) 106,269
Decrease (increase) in notes receivable Decrease (increase) in notes receivable Decrease (increase) in accounts receivable Decrease (increase) in other receivable Decrease (increase) in other receivables Decrease (increase) in there receivables Decrease (increase) in current tax assets Decrease (increase) in guaranty deposited for business operations Decrease (increase) in settlement fund Decrease (increase) in other non-current assets Changes in operating assets: Changes of operating liabilities: Increase (decrease) in fundale deposits Increase (decrease) in standy deposited for short sales Increase (decrease) in guaranty deposited for short sales Increase (decrease) in guaranty deposited for short sales Increase (decrease) in guaranty deposited for short sales Increase (decrease) in securities lending refundable deposits Increase (decrease) in succurities lending refundable deposits Increase (decrease) in succurities lending refundable deposits Increase (decrease) in succurities lending refundable deposits Increase (decrease) in totures traders' equity Increase (decrease) in duranter receipts	917,539 3,117 1,774,575 (1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378	(1,030,223) 6,649 (3,206,239) (7,190) 106,269
Decrease (increase) in notes receivable Decrease (increase) in prepayments Decrease (increase) in prepayments Decrease (increase) in other receivables Decrease (increase) in other careval assets Decrease (increase) in other careval assets Decrease (increase) in suttement fund Decrease (increase) in settlement fund Decrease (increase) in settlement fund Decrease (increase) in other non-current assets Decrease (increase) in other non-current assets Decrease (increase) in other non-current assets Decrease (increase) in in fundable deposits Decrease (increase) in infancial liabilities Increase (decrease) in bands sold under repurchase agreements Increase (decrease) in guaranty deposited for short sales Increase (decrease) in guaranty deposite for short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in futures traders' equity Increase (decrease) in futures traders' equity Increase (decrease) in outputs traders' equity Increase (decrease) in outputs traders' equity Increase (decrease) in advance receipts	3,117 1,774,575 (1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378	6,649 (3,206,239) (7,190) 106,269
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Decrease (increase) in other receivables Decrease (increase) in current tax assets Decrease (increase) in other current assets Decrease (increase) in other current assets Decrease (increase) in settlement fund Decrease (increase) in refundable deposits Decrease (increase) in other non-current assets Charges in operating taskities: Net changes of operating taskities: Increase (decrease) in financial liabilities at fair value through profit or loss Increase (decrease) in guaranty deposited for short sales Increase (decrease) in guaranty deposited for short sales Increase (decrease) in produced payleh from short sales Increase (decrease) in futures traders' equity Increase (decrease) in other non-current sets Increase (decrease) in futures traders' equity Increase (decrease) in other sayable Increase (decrease) in accounts payable Increase (decrease) in accounts payable	(1,697) 23,687 119 (1,266,174) 44,813 18,781 14,378	(7,190) 106,269
Decrease (increase) in outrent tax assets Decrease (increase) in other current assets Decrease (increase) in guaranty deposited for business operations Decrease (increase) in settlement fund Decrease (increase) in settlement fund Decrease (increase) in other non-current assets Changes in operating assets: Net changes of operating lassibilities: Increase (decrease) in financial liabilities Increase (decrease) in guaranty deposited for short sales Increase (decrease) in guaranty deposite for short sales Increase (decrease) in futures traders' equity Increase (decrease) in outputs traders' equity Increase (decrease) in outputs traders' equity Increase (decrease) in outputs traders' equity Increase (decrease) in advance receipts	119 (1,266,174) 44,813 18,781 14,378	
Decrease (increase) in guaranty deposited for business operations Decrease (increase) in settlement fund Decrease (increase) in refundable deposits Decrease (increase) in other non-current assets Changes in operating iasdEttic assets Net changes of operating liabilities: Increase (decrease) in financial liabilities at fair value through profit or loss Increase (decrease) in proceeds payable from short sales Increase (decrease) in furtherest refundable deposits Increase (decrease) in proceeds payable from short sales Increase (decrease) in furtherest refundable deposits Increase (decrease) in furtherest refundable deposits Increase (decrease) in furtherest refundable deposits Increase (decrease) in securities lending refundable deposits Increase (decrease) in outputse traders' equity Increase (decrease) in not payable Increase (decrease) in advance receipts	(1,266,174) 44,813 18,781 14,378	20,514
Decrease (increase) in settlement fund Decrease (increase) in refundable deposits Decrease (increase) in other non-current assets Changes in operating assets: Net changes of operating liabilities: Increase (decrease) in financial liabilities at fair value through profit or loss Increase (decrease) in bonds sold under repurchase agreements Increase (decrease) in bonds sold under repurchase agreements Increase (decrease) in proceeds payable from short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in futures traders' equity Increase (decrease) in outputs Increase (decrease) in outputs Increase (decrease) in accuntise lending refundable deposits Increase (decrease) in accuntise lending refundable deposits Increase (decrease) in accuntise payable Increase (decrease) in accuntis payable Increase (decrease) in accuntis payable Increase (decrease) in accuntise payable	44,813 18,781 14,378	
Decrease (increase) in refundable deposits Decrease (increase) in refundable deposits Decrease (increase) in other non-current assets Changes in operating assets: Net changes of operating liabilities: Increase (decrease) in financial liabilities at fair value through profit or loss Increase (decrease) in guaranty deposited for short sales Increase (decrease) in grocceds payable from short sales Increase (decrease) in proceeds payable Increase (decrease) in financial lending refundable deposits Increase (decrease) in securities lending refundable deposits Increase (decrease) in success payable Increase (decrease) in interest raders' equity Increase (decrease) in oncounts payable Increase (decrease) in advance receipts	18,781 14,378	(1,584,657)
Decrease (increase) in refundable deposits Decrease (increase) in other non-current assets Changes in operating assets: Net changes of operating liabilities: Increase (decrease) in financial liabilities at fair value through profit or loss Increase (decrease) in bonds sold under repurchase agreements Increase (decrease) in guaranty deposited for short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in futures traders' equity Increase (decrease) in necurities lending refundable deposits Increase (decrease) in futures traders' equity Increase (decrease) in outputs Increase (decrease) in outputs Increase (decrease) in advance receipts	14,378	12,607
Decrease (increase) in other non-current assets Changes in operating assets: Net changes of operating liabilities: Increase (decrease) in financial liabilities at fair value through profit or loss Increase (decrease) in bonds sold under repurchase agreements Increase (decrease) in guaranty deposited for short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in securities lending refundable deposits Increase (decrease) in futures traders' equity Increase (decrease) in notes payable Increase (decrease) in outs payable Increase (decrease) in advance receipts		(43,385)
Changes in operating assets: Net changes of operating liabilities: Increase (decrease) in financial liabilities at fair value through profit or loss Increase (decrease) in bonds sold under repurchase agreements Increase (decrease) in guaranty deposited for short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in securities lending refundable deposits Increase (decrease) in futures traders' equity Increase (decrease) in notes payable Increase (decrease) in accounts payable Increase (decrease) in accounts payable	2 565	-
Net changes of operating liabilities: Increase (decrease) in financial liabilities at fair value through profit or loss Increase (decrease) in bonds sold under repurchase agreements Increase (decrease) in guaranty deposited for short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in securities lending refundable deposits Increase (decrease) in futures traders' equity Increase (decrease) in notes payable Increase (decrease) in notes ounts payable Increase (decrease) in advance receipts		16,673
Increase (decrease) in financial liabilities at fair value through profit or loss Increase (decrease) in bonds sold under repurchase agreements Increase (decrease) in groceeds payable from short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in securities lending refundable deposits Increase (decrease) in intures traders' equity Increase (decrease) in notes payable Increase (decrease) in notes my able Increase (decrease) in advance receipts	(10,623,599)	(11,808,183)
Increase (decrease) in bonds sold under repurchase agreements Increase (decrease) in guaranty deposited for short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in securities lending refundable deposits Increase (decrease) in futures traders' equity Increase (decrease) in notes payable Increase (decrease) in advance receipts	2,182,532	1,768,913
Increase (decrease) in guaranty deposited for short sales Increase (decrease) in proceeds payable from short sales Increase (decrease) in securities lending refundable deposits Increase (decrease) in futures traders' equity Increase (decrease) in notes payable Increase (decrease) in accounts payable Increase (decrease) in advance receipts	422,593	2,611,014
Increase (decrease) in proceeds payable from short sales Increase (decrease) in securities lending refundable deposits Increase (decrease) in futures traders' equity Increase (decrease) in notes payable Increase (decrease) in accounts payable Increase (decrease) in advance receipts	(120,394)	(559,377)
Increase (decrease) in futures traders' equity Increase (decrease) in accounts payable Increase (decrease) in accounts payable Increase (decrease) in advance receipts	(385,486)	(994,945)
Increase (decrease) in notes payable Increase (decrease) in accounts payable Increase (decrease) in advance receipts	(645,528)	779,830
Increase (decrease) in accounts payable Increase (decrease) in advance receipts	1,945,145	(728,756)
Increase (decrease) in advance receipts	186	150
	(648,415)	(251,607)
Increase (decrease) in receipts under custody	(137,051)	2,622
	1,296,965	1,677,526
Increase (decrease) in other payables Increase (decrease) in other financial liabilities	246,202 209,781	(101,087) (253,551)
Increase (decrease) in other current liabilities	17,970	(255,551) (282)
Increase (decrease) in guarantee deposits received	5,575	(210)
Increase (decrease) in accrued pension liabilities	(443)	(1,783)
Increase (decrease) in other non-current liabilities	(3,328)	(19,113)
Changes in operating liabilities:	4,386,304	3,929,344
Net changes in operating assets and liabilities:	(6,237,295)	(7,878,839)
Total Cash generated from adjuestment items	(6,971,571)	(8,822,051)
Cash generated by operating activities	(5,159,826)	(7,605,489)
Interest received	1,139,038	1,027,742
Dividend received Interest paid	432,650 (188,437)	106,365
Income tax paid	(50,110)	(146,112) (604,842)
Net cash provided by (used in) operating activities	(3,826,685)	(7,222,336)
Cash flows from investing activities:	(0,0_0,000)	(,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,
Proceeds from capital reduction of financial assets carried at cost	247,186	10,000
Increase in deferred debits	(1,751)	(1,035)
Acquisitions of property and equipment	(84,633)	(28,847)
Proceeds from disposal of property and equipment	5,848	
Acquisitions of intangible assets	(11,831)	(9,620)
Net cash provided by (used in) investing activities	154,819	(29,502)
Cash flows from financing activities:		
Increase in short-term borrowings	1,469,794	5,096,519
Decrease in long-term liabilities - current portion	- 2,199,444	(299,881) 1,399,660
Increase in commercial paper payable Cash dividends	(1,139,521)	(387,707)
Proceeds from issuing shares of subsidiaries	(1,139,521) 226,013	(367,707)
Disposal of ownership interests in subsidiaries without losing control	24,034	-
Net cash provided by (used in) financing activities	2,779,764	5,808,591
Effect of exchange rate changes on cash and cash equivalents	_,,	29,861
Increase (decrease) in cash and cash equivalents	30.103	(1,413,386)
Cash and cash equivalents, beginning of the year	30,103 (861,999)	(1,115,560)
Cash and cash equivalents, end of this period	30,103 (861,999) 4,554,344	5,408,513