## NOTICE OF AUTHORIZATION TO PROVIDE AUTOMATED TRADING SERVICES

Pursuant to section 95(2) of the Securities and Futures Ordinance (Cap. 571) (**SFO**), the Securities and Futures Commission (**Commission**) hereby authorizes Chicago Mercantile Inc (**CME Inc**) to provide automated trading services (**ATS**) in Hong Kong via the CME Clearing System for the purposes of providing clearing and settlement services in respect of transactions in OTC derivative products. The authorization is subject to the following conditions.

[redacted]

3. CME Inc must notify the Commission of any material change to the matters referred to in paragraphs 55(a) to 55(n) of the Guidelines for the Regulation of ATS (dated 1 September 2016) issued by the Commission, and particularly to changes in the matters [redacted]

specified below –

3.1 CME Inc's company structure, any substantial shareholders and where a [redacted]

substantial shareholder is a corporation, the directors and substantial shareholders [redacted]

Any notification of change pursuant to this Condition must be given prior to the change [redacted]

practicable after the change takes effect [redacted]

4 CME Inc must put in place and/or maintain appropriate business continuity plans and disaster recovery programmes for CME Inc's provision of ATS in Hong Kong and notify

month end (and if CME Inc maintains more than one default fund, the Hong Kong Clearing Member's total contributions to each default fund to which it has contributed).

The above statistics must be provided within **four** weeks after the end of the relevant [redacted]

nil return is required if no trade was cleared or settled in the relevant reporting period.

[redacted]