NOTICE OF AUTHORIZATION TO PROVIDE AUTOMATED TRADING SERVICES

ISSUED TO CHINA SECURITIES DEPOSITORY AND CLEARING

CORPORATION LIMITED 《中國證券登記結算有限責任公司》

UNDER SECTION 95 OF THE SECURITIES AND FUTURES ORDINANCE

INTRODUCTION

Background

[redacted]

Futures Commission (**SFC**) issued a joint announcement noting that they had approved, in

[redacted]

(2) the Memorandum of Understanding (dated 17 October 2014) between the CSRC and the [redacted]

Hong Kong Stock Connect.

Shanghai-Hong Kong Stock Connect

[redacted]

(1) SEHK and SSE will establish mutual market connectivity and related technical infrastructure (**Trading Links**) to enable investors trading through Mainland securities firms that are participants of SSE (**Southbound investors**) to trade certain securities listed on the SEHK (**SEHK securities**), and investors trading through Hong Kong brokers [redacted]

AUTHORIZATION

7. In view of the matters described in paragraphs 1 to 6 above, and pursuant to section 95(2) of the

SFO, the SFC hereby authorizes CSDC to provide ATS for the purposes of facilitating the conduct of clearing and settlement under Shanghai-Hong Kong Stock Connect which has been routed as described in paragraph 4(2) above, and subject to the conditions set out in

Disposal of securities

14. To the extent permitted by Mainland law, CSDC will provide reasonable assistance to the SFC in [redacted]

Service

15. Any notice or other document issued or served by the SFC on CSDC in connection with this authorization shall be regarded as duly served if served in any of the following ways –

(1) [redacted] the SFC in writing or to its registered address in Hong Kong,