NOTICE OF AUTHORIZATION TO PROVIDE AUTOMATED TRADING SERVICES

ISSUED TO GANGSHENG INFORMATION SERVICES (SHANGHAI) LIMITED

《港盛信息服務（上海）有限公司》

UNDER SECTION 95 OF THE SECURITIES AND FUTURES ORDINANCE

INTRODUCTION

Background

1 On 10 April 2014, the China Securities Regulatory Commission (**CSRC**) and the Securities [illegible]

in principle, the development of a pilot programme (**Shanghai Hong Kong Stock Connect** [illegible]

4. Under Shanghai-Hong Kong Stock Connect –

[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 SEHK-subsidiary to provide ATS for the purposes of facilitating the conduct of trading under Shanghai-Hong Kong Stock Connect which has been routed as described in paragraph 4(1) above, and subject to the conditions set out in paragraphs 8 to 16 below.

CONDITIONS

General

8 A written undertaking from SEHK to procure SEHK-subsidiary's compliance with the terms of this authorization remains in force.

9 In providing ATS, SEHK-subsidiary must conduct its business, operations and affairs in a manner that is honest, fair and consistent with the principles, procedures and standards [redacted]

10. SEHK-subsidiary shall only provide ATS for the purposes of facilitating the conduct of trading under Shanghai-Hong Kong Stock Connect which has been routed as described in paragraph 4(1) above.

[redacted]

Service

16. Any notice or other document issued or served by the SFC on SEHK-subsidiary in connection