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

1 On 16 August 2016, the China Securities Regulatory Commission (**CSRC**) and the Securities and Futures Commission (**SFC**) issued a joint announcement noting that they had approved, in principle, the establishment of mutual access between Shenzhen and Hong Kong stock markets (**Shenzhen-Hong Kong Stock Connect**《深港股票市場交易互聯互通機制》), which would operate among the following entities –

(1) Shenzhen Stock Exchange《深圳證券交易所》 (**SZSE**), which is regulated by the CSRC under the Measures for the Administration of Stock Exchanges《證券交易所管理辦法》,

(2) The Stock Exchange of Hong Kong Limited《香港聯合交易所有限公司》 (**SEHK**), which is a recognized exchange company under the Securities and Futures Ordinance (Cap 571, **SFO**),

[redacted]

[redacted]

4. Under Shenzhen-Hong Kong Stock Connect –

   (1) SEHK and SZSE will establish mutual market connectivity and related technical infrastructure (**Trading Links**) to enable investors trading through Mainland securities firms that are participants of SZSE (**Southbound investors**) to trade certain securities [redacted]

CONDITIONS

General

9. In providing ATC, CSDC must conduct its business, operations and affairs in a manner that is

(2) sent by facsimile transmission to its last known facsimile number as notified to the SFC in writing, or

(3) sent by electronic mail transmission to its last known electronic mail address as notified to the SFC in writing.

SECURITIES AND FUTURES COMMISSION
DATED: 8 November 2016