

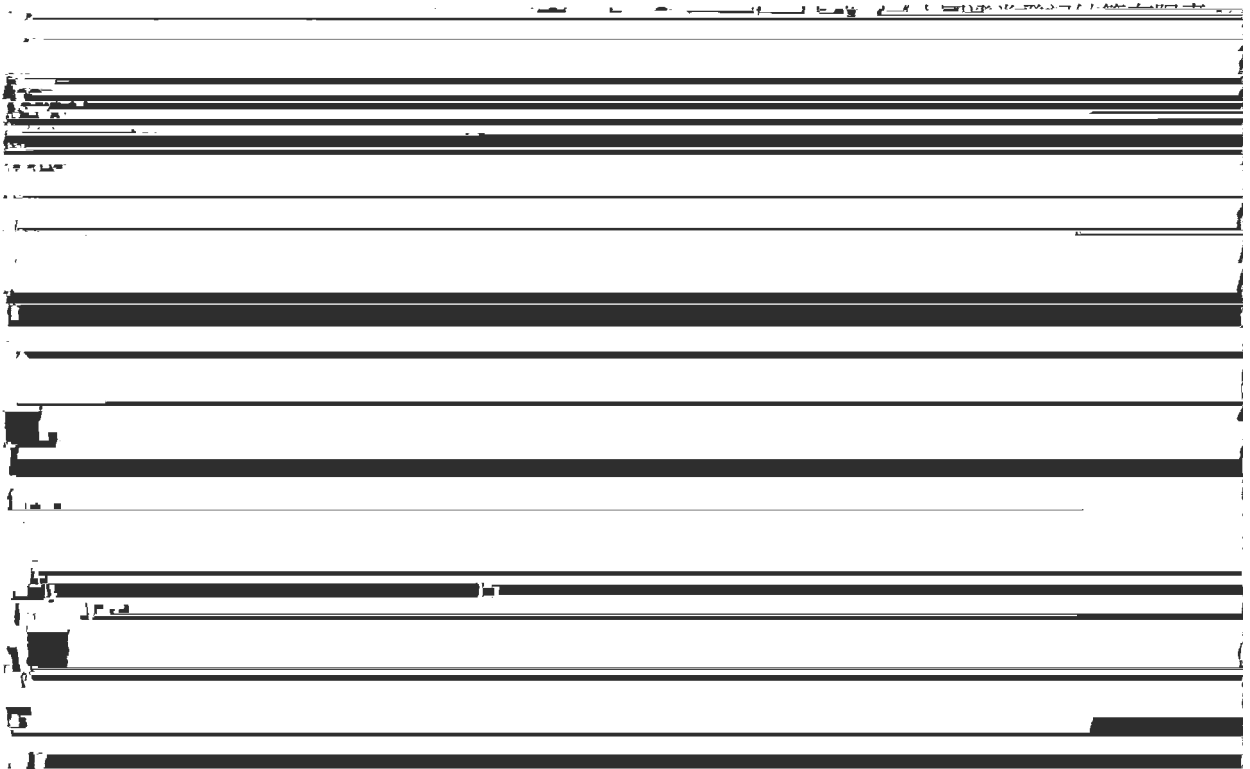


NOTICE OF AUTHORIZATION TO PROVIDE AUTOMATED TRADING SERVICES
ISSUED TO CHINA SECURITIES DEPOSITORY AND CLEARING
CORPORATION LIMITED 《中國證券登記結算有限責任公司》
UNDER SECTION 95 OF THE SECURITIES AND FUTURES ORDINANCE

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**),





Shenzhen-Hong Kong Stock Connect

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

CONDITIONS

General

Representative ATC GPOC must conduct its business, operations and affairs in a manner that is



6. Initially, the securities to be sold have a face value of HK\$100 million.

(3) Sent by electronic mail transmission to its last known electronic mail address as notified to

writing, or

the SFC in writing.

SECURITIES AND FUTURES COMMISSION
DATED: 8 November 2016