



B #:	B14810-21
Date:	March 9, 2021
To:	All Participants
Category:	Service Updates
From:	General Counsel's Office
Attention:	Managing Partner/Officer, Operations Partner/Officer, Operations Management
Subject:	Presidential Executive Order 13959 – Additional DTCC Processing Information March 9, 2021

Dear Valued Client,

DTCC is including additional securities subject to the [Executive Order 13959 \(“EO”\)](#). The EO prohibits purchase transactions by U.S. persons in publicly traded securities issued by certain Communist Chinese military companies of the People’s Republic of China (“CCMCs”). DTCC continues to assess the impact of the prohibition of transactions on securities of issuers deemed CCMCs (“covered securities”).

The following securities have been added to the securities subject to the EO as of March 15, 2021:

CUSIP	Security Description	SYMBOL	DTC/NSCC
G56981106	Luokung Technology Corp	LKCO	DTC/NSCC
G9830T106	Xiaomi Corp	XIACF	DTC/NSCC
98421U108	Xiaomi Corp	XIACY	DTC/NSCC

NSCC will accept trades in all securities listed above up until UTC close (typically between 10 PM to 11 PM) on Friday, March 12, 2021. Trade capture, clearance and settlement in the covered securities will continue to process in the normal manner provided the trades are submitted prior to March 12 UTC close. NSCC will suspend trade capture activities through UTC on the covered securities beginning March 15.

DTC will continue to facilitate settlement activities, including deliver and receive orders for the DTC securities listed above, including corporate action processing. However, DTC will no longer support the following activities for these securities as of 5:00 PM Friday, March 12, 2021 prior to the night cycle:

Type of Activity	Description
Deposits	No additional physical shares are permitted to be added to the position/inventory at DTC
Pledge	Prevents the security from being pledged as collateral through DTC’s collateral loan service
DWAC Deposit	FAST securities are not eligible for direct FAST deposit

We remind you that in using DTCC services, you are obligated to comply with all applicable laws, rules and regulations including sanctions laws, rules and regulations administered by OFAC, including complying with EO 13959.

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