



<b>A#:</b>	8947
<b>P&amp;S:</b>	8520
<b>Date:</b>	January 5, 2021
<b>To:</b>	All Participants
<b>From:</b>	GENERAL COUNSEL'S OFFICE
<b>Attention:</b>	MANAGING PARTNER/OFFICER, OPERATIONS PARTNER/OFFICER, COMPLIANCE OFFICER
<b>Subject:</b>	Presidential Executive Order 13959 – Additional DTCC Processing Information January 5, 2021

DTCC continues to assess the impact of the prohibition of transactions in securities of issuers deemed to be Communist Chinese military companies of the People's Republic of China under [Executive Order \(EO\) 13959](#) ("CCMCs"). The EO prohibits purchase transactions by U.S. persons in publicly-traded securities issued by certain listed CCMCs.

Based on further clarification from the Office of Foreign Assets Control ("OFAC"), DTCC will accept trades in the securities listed below ("covered securities") up until 3 AM on January 11, 2021. Clearance and settlement in the covered securities will continue to occur provided the trades are submitted prior to 3 AM January 11, 2021.

NSCC will suspend trade capture activities through UTC on the covered securities beginning at 3 AM on January 11, 2021.

CUSIP	Security Description	SYMBOL	DTC/NS CC
168926103	CHINA COMMUNICATIONS CONSTR CO	CCCGY	DTC/NS CC
Y1R36J108	CHINA COMMUNICATIONS CONSTR CO	CCCGF	NSCC
16947L105	CHINA RAILWAY CONSTRUCTION CORP	CWYCY	DTC/NS CC
Y1508P110	CHINA RAILWAY CONSTRUCTION CORP	CWYCF	NSCC
Y6204F100	NANJING PANDA ELECTRONICS COMPANY LTD SHS	NJGPF	NSCC

DTC will continue to facilitate settlement activities for the DTC securities listed above including delivery order and corporate action processing. However, DTC will no longer support the following activities for these securities as of COB Friday January 8 prior to the start of the Monday night cycle:

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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.
Depository	Prevents movements of securities between depositories.
DWAC Deposit	FAST securities are not eligible for direct FAST deposit.

DTC will support the divestiture of covered securities through delivery order processing to enable divestiture from January 11 until November 11, 2021. Additionally, DTC will continue asset servicing for the covered securities, including interest and dividend payments.

As OFAC updates the EO, and any related covered securities, additional notification will be provided.