



**Important Notice**  
**National Securities Clearing Corporation**

<b>A#:</b>	8949
<b>P&amp;S:</b>	8522
<b>Date:</b>	January 6, 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 6, 2021

Based on updated guidance from OFAC provided to NYSE, DTCC is including seven additional securities subject to the [Executive Order \(EO\) 13959](#). 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 will continue to assess the impact of the prohibition of transactions on securities of issuers deemed CCMCs.

NSCC will accept trades in all the securities listed below ("covered securities") up until UTC close on Friday January 8, 2021, typically between 10:00 PM – 11:00 PM ("January 8 UTC close"). Trade capture, clearance and settlement in the covered securities will continue to process in the normal manner provided the trades are submitted prior to January 8 UTC close. ITP's affirmed transactions with a trade date of January 8, 2021 or earlier will continue to process in the normal manner. NSCC will suspend trade capture activities through UTC on the covered securities beginning at January 8 UTC close.

The securities listed below in **bold** are being added as covered securities based on updated OFAC guidance.

CUSIP	Security Description	SYMBOL	DTC/NSCC
168926103	CHINA COMMUNICATIONS CONSTRUCTION CO	CCCGY	DTC/NSCC
Y1R36J108	CHINA COMMUNICATIONS CONSTRUCTION CO	CCCGF	NSCC
16947L105	CHINA RAILWAY CONSTRUCTION CORP	CWYCY	DTC/NSCC

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Y1508P11 0	CHINA RAILWAY CONSTRUCTION CORP	CWYCF	NSCC
Y6204F10 0	NANJING PANDA ELECTRONICS COMPANY LTD SHS	NJGPF	NSCC
16942610 3	CHINA TELECOMMUNICATIONS CORP	CHA	DTC/NSCC
16941M1 09	CHINA MOBILE LIMITED	CHL	DTC/NSCC
16945R10 4	CHINA UNICOM LIMITED	CHU	DTC/NSCC
Y0485Q1 09	AVIATION INDUSTRY CORPORATION OF CHINA	AVIJF	NSCC
05367J10 4	AVIATION INDUSTRY CORPORATION OF CHINA	--	DTC
Y1511710 7	CHINA UNICOM CO LTD SHRS A (CHINA) – UNICOM	CIUCF	NSCC
Y1519S11 1	CHINA UNICOM HONG KONG LIMITED ORDINARY SHARES	CHUFF	NSCC/DTC

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 5:00 PM Friday January 8, 2021 prior to the start of the Monday 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
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.