



Important Notice
National Securities Clearing Corporation

A#:	8972
P&S:	8545
Date:	February 26, 2021
To:	All Participants
From:	GENERAL COUNSEL'S OFFICE
Attention:	MANAGING PARTNER/OFFICER, OPERATIONS PARTNER/OFFICER, COMPLIANCE OFFICER
Subject:	Presidential Executive Order 13959 – Additional DTCC Processing Information February 26, 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 9, 2021:

CUSIP	Security Description	SYMBOL	DTC/NSCC
126132109	CNOOC Ltd	CEO	DTC/NSCC
Y1662W117	CNOOC Limited Hong Kong	CEOHF	DTC/NSCC

NSCC will accept trades in all securities listed above up until UTC close on Monday March 8, 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 8 UTC close. NSCC will suspend trade capture activities through UTC on the covered securities beginning March 9.

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 Monday March 8, 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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