



Important Notice
National Securities Clearing Corporation

A#:	9032
P&S:	8605
Date:	July 27, 2021
To:	All Participants
From:	GENERAL COUNSEL'S OFFICE
Attention:	MANAGING PARTNER/OFFICER, OPERATIONS PARTNER/OFFICER, COMPLIANCE OFFICER
Subject:	Presidential Executive Order 14032 or EO 13959 – Additional DTCC Processing Information July 27, 2021

Dear Valued Client,

DTCC identified securities subject to the Executive Order 14032 (“EO”) or EO 13959, as amended on June 3, 2021. The EO prohibits purchase transactions by U.S. persons of publicly traded securities issued by certain Chinese Military-Industrial Complex companies or “CMICs.

The following securities have been added to the securities subject to the EO as of August 2, 2021:

CUSIP	Security Description	SYMBOL	DTC/NSCC
168926103	China Communications Constr Co	CCCGY	DTC
169990256	China Electronics Corp	-	DTC
169993565	China Electronics Rstd		DTC
Y1300C101	CGN Power Co Ltd		NSCC
125353102	CGN Pwr Co Ltd		DTC
Y14965100	China Mobile Limited	CHLKF	DTC
16941M109	China Mobile Limited	CHL	DTC
16947L105	China Railway Construction Corp	CWYCY	DTC
169426103	China Telecommunications Corp	CHA	DTC
169428109	China Telecom Ltd		DTC
16945R104	China Unicom Limited	CHU	DTC
Y1519S111	China Unicom Hong Kong Limited	CHUFF	DTC
Y15125100	China Unicom Limited		DTC
Y1662W117	CNOOC Limited Hong Kong	CEOHF	DTC
126132109	CNOOC Ltd	CEO	DTC
Y2932Y115	Guangzhou Shipyards Intl Shares A- (CHINA)	GZSYF	NSCC
400656104	Guangzhou Shipyard Intl Ltd		DTC
Y4445M109	Jiangxi Hongdu Aviation Industry Corp Ltd Shs A (CHINA)	JNXIF	NSCC
81663N206	Semiconductor Manufacturing Intl Corp	SMICY	DTC/NSCC
G8020E101	Semiconductor Mfg Intl Corp		DTC

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NSCC will accept trades in the NSCC securities listed above up until UTC close on Friday, July 30, 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 July 30 UTC close. NSCC will suspend trade capture activities through UTC on the covered securities beginning August 2.

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 July 30 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

DTCC will continue to assess the impact of the prohibition of transactions on securities of issuers deemed CMICs ("covered securities").

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 14032/ EO 13959, as amended.