NOTICE OF AUTHORIZATION TO PROVIDE AUTOMATED TRADING SERVICES

ISSUED TO SHENZHEN STOCK EXCHANGE《深圳證券交易所》

UNDER SECTION 95 OF THE SECURITIES AND FUTURES ORDINANCE

INTRODUCTION

Background

1. On 16 August 2016, the China Securities Regulatory Commission (**CSRC**) and the Securities and Futures Commission (**SFC**) issued a joint announcement noting that they had approved, in principle, the establishment of mutual access between Shenzhen and Hong Kong stock markets (**Shenzhen-Hong Kong Stock Connect**《深港股票市場交易互聯互通機制》), which would operate among the following entities –

   (1) Shenzhen Stock Exchange《深圳證券交易所》(**SZSE**), which is regulated by the CSRC [redacted]

   under the Measures for the Administration of Stock Exchanges《證券交易所管理辦法》, [redacted] firms that are participants of SZSE (**Southbound investors**) to trade certain securities

[redacted]

CONDITIONS

General

8. In providing ATS, SZSE must conduct its business, operations and affairs in a manner that is

Service

15. Any notice or other document issued or served by the SFC on SZSE in connection with this authorization shall be regarded as duly served if served in any of the following ways –

    (1) delivered by hand to, left at, or sent by post to, SZSE's last known address as notified to the SFC in writing or to its registered address in Hong Kong,

    (2) sent by facsimile transmission to its last known facsimile number as notified to the SFC in writing, or

    (3) sent by electronic mail transmission to its last known electronic mail address as notified to the SFC in writing.

SECURITIES AND FUTURES COMMISSION
DATED: 8 November 2016