

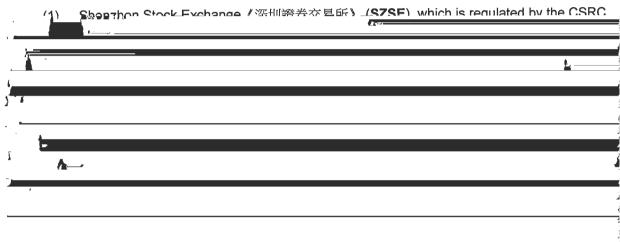
# NOTICE OF AUTHORIZATION TO PROVIDE AUTOMATED TRADING SERVICES ISSUED TO SHENZHEN STOCK EXCHANGE 〈深圳證券交易所〉

## 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 –



under the Measures for the Administration of Stock Exchanges《證券交易所管理辦法》,

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## CONDITIONS

General





### 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