

TD Ameritrade Hong Kong Ltd.

On November 12, 2020, President Trump signed an executive order (EO 13959) prohibiting United States (“U.S.”) persons and companies from purchasing or holding any securities that invest in mainland Chinese companies with ties to the military of the People’s Republic of China (“CCMCs”). The following companies and/or securities have been identified under Section 1237 of Public Law 105-261 and is subject to change at any time.

The executive order includes publicly traded securities (equities, bonds and other fixed income), as well as derivative products (options, warrants, etc.) and any products designed to provide exposure to the prohibited companies (mutual funds, ETFs, etc.).

TD Ameritrade relies on third party firms to execute orders and settle non-U.S. securities trades overseas; these firms may cease accepting orders to trade the impacted securities at any time. In the event this occurs, TD Ameritrade may not be able to execute a buy or sell order in the impacted securities for you. Other financial institutions may also be unable or unwilling to accept incoming transfers of these securities which could limit your ability to transfer them out of TD Ameritrade.

TD Ameritrade Clearing, Inc. is the contracted custodian and clearing firm of TD Ameritrade Hong Kong Ltd. for U.S. securities markets and will be unable to facilitate opening transactions in associated securities beginning **January 5, 2021**.

Publicly Traded Securities

| NAME | CUSIP | SYMBOL | EFFECTIVE DATE |
|-------------------------------------------------------------|-----------|--------|----------------|
| China Communications Construction Company | Y1R36J108 | CCCGF | 1/04/2021 |
| China Communications Construction Company - Unsponsored ADR | 168926103 | CCCGY | 1/04/2021 |
| CNOOC Limited – ADR | 126132109 | CEO | 2/01/2021 |
| CNOOC Limited | Y1662W117 | CEOHF | 2/01/2021 |
| China Railway Construction Corp | Y1508P110 | CWYCF | 1/04/2021 |
| China Railway Construction Corp - Unsponsored ADR | 16947L105 | CWYCY | 1/04/2021 |
| CRRRC Corp. | Y1818X100 | CRRRF | 1/04/2021 |
| Semiconductor MFG – ADR | 81663N206 | SMICY | 2/01/2021 |
| Semiconductor MFG ORDF | G8020E119 | SIUIF | 2/01/2021 |

Privately Held Companies

| NAME | EFFECTIVE DATE |
|---------------------------------------------------|----------------|
| Aero Engine Corp of China | 1/04/2021 |
| Aviation Industry Corp of China (AVIC) | 1/04/2021 |
| China Academy of Launch Vehicle Technology (CALT) | 1/04/2021 |
| China Aerospace Science & Industry Corp (CASIC) | 1/04/2021 |
| China Aerospace Science & Technology Corp (CASC) | 1/04/2021 |
| China Construction Technology Co. Ltd. (CCTC) | 2/01/2021 |
| China Electronics Corporation | 1/04/2021 |
| China Electronics Technology Group Corp (CETC) | 1/04/2021 |



| | |
|----------------------------------------------------------|-----------|
| China General Nuclear Power Corp. | 1/04/2021 |
| China International Engineering Consulting Corp. (CIECC) | 2/01/2021 |
| China Mobile Communications Group | 1/04/2021 |
| China Nat'l Chemical Corp (ChemChina) | 1/04/2021 |
| China Nat'l Chemical Engineering Group Co, Ltd. | 1/04/2021 |
| China National Nuclear Corp | 1/04/2021 |
| China National Offshore Oil Corp. (CNOOC) | 2/01/2021 |
| China North Industries Group Corp (Norinco Group) | 1/04/2021 |
| China Nuclear Engineering & Construction Corp (CNECC) | 1/04/2021 |
| China Shipbuilding Corporation (CSIC) | 1/04/2021 |
| China South Industries Group Corp (CSGC) | 1/04/2021 |
| China Spacesat | 1/04/2021 |
| China State Construction Group Co. Ltd. | 1/04/2021 |
| China State Shipbuilding Corp (CSSC) | 1/04/2021 |
| China Telecommunications Corp. | 1/04/2021 |
| China Three Gorges Corporation Ltd. | 1/04/2021 |
| China United Network Communications Group Co Ltd. | 1/04/2021 |
| Dawning Information Industry Co (Sugon) | 1/04/2021 |
| Hangzhou Hikvision Digital Technology Co. Ltd. | 1/04/2021 |
| Huawei | 1/04/2021 |
| Inspur Group | 1/04/2021 |
| Panda Electronics Group | 1/04/2021 |
| Semiconductor Manufacturing International Corp. (SMIC) | 2/01/2021 |
| Sinochem Group Co Ltd. | 1/04/2021 |

TD Ameritrade Hong Kong Ltd. is registered with the Securities and Futures Commission (CE Number BJO462) to carry out the regulated activities of dealing in securities and dealing in futures contracts and does not provide tax, legal, or investment advice or recommendations. Regulated products are provided in Hong Kong by TD Ameritrade Hong Kong Ltd. and nothing in the published material is an offer or solicitation to conduct business in any other jurisdiction.

TD Ameritrade is the trading name of TD Ameritrade Hong Kong Ltd. TD Ameritrade is a subsidiary of The Charles Schwab Corporation. TD Ameritrade is a trademark jointly owned by TD Ameritrade IP Company, Inc. and The Toronto-Dominion Bank. © 2020 Charles Schwab & Co. Inc. All rights reserved.