

CHAPTER 14A

CHINA CONNECT SERVICE - SHANGHAI

Interpretation

14A02. (2) In this Chapter, unless the context otherwise requires:

The definitions of “Aggregate Quota” and “Aggregate Quota Balance” have been repealed.

Quotas on SSE-listed Securities as China Connect Securities

14A07. (1) Pursuant to the Exchange’s powers under Rules 1426 (discretion to prescribe quota limits and controls), 1427 (discretion to take actions to ensure compliance with quota controls) and 1428(2) (power to set price restrictions to block the input of artificial China Connect orders), the Daily Quota and quota monitoring and management provisions under Rules 14A07(2) to (14) shall apply.

Daily Quota

(2) The Daily Quota shall apply to the trading of China Connect Securities through the use of the China Connect Service.

(3) [Repealed]

(4) [Repealed]

(5) [Repealed]

(7) [Repealed]

(8) The Daily Quota shall apply to each CSC trading day. Regardless of the level of the Daily Quota Balance at the end of a CSC trading day, the Daily Quota Balance will not be carried forward for utilization on the following or subsequent CSC trading days.

(10) For the avoidance of doubt:

(a) references in the formula in Rule 14A07(6) to “China Connect buy orders”, “China Connect sell orders”, “China Connect Securities Buy Trades” and “China Connect Securities Sell Trades” do not include the value of any transaction fees, taxes, levies or stamp duties payable or collected in respect of such orders or trades; and

(b) only China Connect buy orders will be subject to quota controls under this Rule. Unless otherwise determined by the Exchange, China Connect sell orders will be accepted by the CSC during the operational hours of a CSC trading day and will not be affected by the level of the Daily Quota Balance.