

## Stock Balances on 8 August 2020

### Pre-set Stock Balances for Northbound Trading

For each CCEP and each Institutional Investor (II) ID allocated to CCEP will have the maximum sellable quantity 10,000 for the following stocks during the MR on 8 August 2020.

For each Short Selling Security in the testing, the maximum number of shares available for short selling is 10,000.

SSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each EP and II assigned
600016	90016	CHINA MINSHENG BANKING CORP., LTD.	Yes	10,000
600019	90019	BAOSHAN IRON & STEEL CO., LTD.	Yes	10,000
600029	90029	CHINA SOUTHERN AIRLINES COMPANY LIMITED	Yes	10,000
600031	90031	SANY HEAVY INDUSTRY CO.,LTD	Yes	10,000
600036	90036	CHINA MERCHANTS BANK CO.,LIMITED	Yes	10,000
600050	90050	CHINA UNITED NETWORK COMMUNICATIONS LIMITED	Yes	10,000
600276	90276	JIANGSU HENGRUI MEDICINE CO.,LTD.	Yes	10,000
600297	90297	CHINA GRAND AUTOMOTIVE SERVICES GROUP CO.,LTD	No	10,000
600690	90690	HAIER SMART HOME CO., LTD.	Yes	10,000
600887	90887	INNER MONGOLIA YILI INDUSTRIAL GROUP CO.,LTD	Yes	10,000
SZSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each EP and II assigned
000001	70001	PING AN BANK CO., LTD.	Yes	10,000
000002	70002	CHINA VANKE CO., LTD	Yes	10,000
000725	70725	BOE TECHNOLOGY GROUP CO., LTD	Yes	10,000
002027	72027	FOCUS MEDIA INFORMATION TECHNOLOGY CO.,LTD	Yes	10,000
000651	70651	GREE ELECTRIC APPLIANCES,INC.OF ZHUHAI CO.,LTD	Yes	10,000
000338	70338	WEICHAI POWER CO., LTD.	Yes	10,000
000157	70157	ZOOMLION HEAVY INDUSTRY SCIENCE AND TECHNOLOGY CO., LTD	Yes	10,000
002280	72280	HANGZHOU LIANLUO INTERACTIVE INFORMATION TECHNOLOGY CO.,LTD	No	10,000
002415	72415	HANGZHOU HIKVISION DIGITAL TECHNOLOGY CO., LTD	Yes	10,000
003816	73816	CGN POWER CO.,LTD.	No	10,000
300015	77015	AIER EYE HOSPITAL GROUP CO.,LTD.	Yes	10,000
300012	77012	CENTRE TESTING INTERNATIONAL GROUP CO., LTD.	Yes	10,000
300498	77498	WENS FOODSTUFF GROUP CO., LTD.	Yes	10,000
300124	77124	SHENZHEN INOVANCE TECHNOLOGY CO., LTD	Yes	10,000
300059	77059	EAST MONEY INFORMATION CO., LTD.	Yes	10,000
300347	77347	HANGZHOU TIGERMED CONSULTING CO.,LTD.	Yes	10,000
300003	77003	LEPU MEDICAL TECHNOLOGY (BEIJING) CO.,LTD.	Yes	10,000

## Notes on Order Input for the MR

The following notes on order input are applicable for Opening Call Auction, Continuous Auction Sessions and Closing Call Auction Session of Northbound Trading

### General

1. Orders to be input should be at prices within +/- 10% (+/- 20% for ChiNext stocks) from previous closing price.
2. Buy orders should not below the current best bid price/ the latest trade price / the previous closing price (as the case may be) by more than 3%.
3. For ChiNext stocks, buy order should be  $\leq 102\%$  of reference price; sell order should be  $\geq 98\%$  of reference price.
4. Maximum order size is 1,000,000 shares (300,000 shares for ChiNext stocks).
5. Cancel outstanding orders as far as possible.
6. Both buy and sell orders are required to tag with BCANs.

### Short Selling Order

7. A Short Selling order for a Short Selling Security shall not be input into the OTP-CSC at a price lower than the most recent execution price for that Short Selling Security or, if there have been no executed trades for that Short Selling Security on the relevant OTP-CSC trading day, the previous closing price for that Short Selling Security.
8. Short Selling order must be in multiples of 100 shares.
9. Any Short Selling order of a Short Selling Security that, if executed, will cause the 1% daily limit to be exceeded during the course of an OTP-CSC trading day will be rejected by the OTP-CSC.

### Sell Order and Buy Order for Pre-Trade Checking Function for Institutional Investors

10. For those supporting pre-trade checking function for institutional investors, input Institutional Investor ID (IIID) for sell orders and, if applicable, buy orders.