

Stock Balances on 20 March 2021

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 50,000 for the following stocks during the market rehearsal on 20 March 2021.

For each Short Selling Security in the testing, the maximum number of shares available for short selling is 100,000.

SZSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each CCEP and II ID assigned
000001	70001	PING AN BANK CO., LTD.	Yes	50,000
000002	70002	CHINA VANKE CO., LTD.	Yes	50,000
000100	70100	TCL TECHNOLOGY GROUP CORPORATION	Yes	50,000
000157	70157	ZOOMLION HEAVY INDUSTRY SCIENCE AND TECHNOLOGY CO., LTD	Yes	50,000
000333	70333	MIDEA GROUP CO., LTD.	Yes	50,000
000338	70338	WEICHAJ POWER CO., LTD.	Yes	50,000
000425	70425	XCMG CONSTRUCTION MACHINERY CO., LTD.	Yes	50,000
000630	70630	TONGLING NONFERROUS METALS GROUP CO.,LTD.	Yes	50,000
000651	70651	GREE ELECTRIC APPLIANCES,INC.OF ZHUHAI CO.,LTD	Yes	50,000
000725	70725	BOE TECHNOLOGY GROUP CO., LTD	Yes	50,000
002027	72027	FOCUS MEDIA INFORMATION TECHNOLOGY CO.,LTD	Yes	50,000
002050	72050	ZHEJIANG SANHUA INTELLIGENT CONTROLS CO., LTD.	Yes	50,000
002142	72142	BANK OF NINGBO CO., LTD	Yes	50,000
002202	72202	XINJIANG GOLDWIND SCIENCE&TECHNOLOGY CO.,LTD	Yes	50,000
002241	72241	GOERTEK INC.	Yes	50,000
002271	72271	BEIJING ORIENTAL YUHONG WATERPROOF TECHNOLOGY CO.,LTD.	Yes	50,000
002475	72475	LUXSHARE PRECISION INDUSTRY CO.,LTD.	Yes	50,000
002807	72807	JIANGSU JIANGYIN RURAL COMMERCIAL BANK CO.,LTD	No	50,000
002831	72831	SHENZHEN YUTO PACKAGING TECHNOLOGY CO., LTD.	No	50,000
003816	73816	CGN POWER CO.,LTD.	No	50,000
300012	77012	CENTRE TESTING INTERNATIONAL GROUP CO., LTD.	Yes	50,000
300059	77059	EAST MONEY INFORMATION CO., LTD.	Yes	50,000
300298	77298	SINOCARE INC.	No	50,000

Notes on Order Input for the market rehearsal

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 shares) 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 shares, 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 shares).
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.