

Stock Balances on 27 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 27 March 2021.

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

SSE Stock Code	Stock Code Mapping in CCASS	Stock Name	Eligible for Short Sell	Stock Balance for each EP and II assigned
600019	90019	BAOSHAN IRON & STEEL CO., LTD.	Yes	50,000
600036	90036	CHINA MERCHANTS BANK CO.,LIMITED	Yes	50,000
600297	90297	CHINA GRAND AUTOMOTIVE SERVICES GROUP CO.,LTD	No	50,000
600900	90900	CHINA YANGTZE POWER CO.,LTD.	Yes	50,000
601288	91288	AGRICULTURAL BANK OF CHINA LIMITED	Yes	50,000
601398	91398	INDUSTRIAL AND COMMERCIAL BANK OF CHINA LIMITED	Yes	50,000
601668	91668	CHINA STATE CONSTRUCTION ENGINEERING CORPORATION LIMITED	Yes	50,000
601901	91901	FOUNDER SECURITIES CO., LTD.	Yes	50,000
601916	91916	CHINA ZHESHANG BANK CO., LTD	No	50,000
601988	91988	BANK OF CHINA LIMITED	Yes	50,000
688001	30001	Suzhou HYC Technology CO., LTD	Yes	50,000
688002	30002	Raytron Technology Co.,Ltd.	Yes	50,000
688003	30003	Suzhou TZTEK Technology Co.,Ltd	Yes	50,000
688005	30005	Ningbo Ronbay New Energy Technology Co., Ltd.	Yes	50,000
688006	30006	Zhejiang HangKe Technology Incorporated Company	Yes	50,000
688007	30007	Appotronics Corporation Limited	Yes	50,000
688008	30008	Montage Technology Co., Ltd.	Yes	50,000
688009	30009	China Railway Signal & Communication Corporation Limited	Yes	50,000
688010	30010	Fujian Forecam Optics Co.,Ltd.	Yes	50,000
688011	30011	Harbin Xinguang Optic-Electronics Technology Co., Ltd.	Yes	50,000
688012	30012	Advanced Micro-Fabrication Equipment Inc. China	Yes	50,000
688013	30013	Touchstone International Medical Science Co., Ltd.	Yes	50,000
688015	30015	Traffic Control Technology Co., Ltd.	Yes	50,000
688016	30016	Shanghai MicroPort Endovascular MedTec (Group) Co., Ltd.	Yes	50,000
688017	30017	Leader Harmonious Drive Systems Co.Ltd	Yes	50,000
688018	30018	Espressif Systems (Shanghai) Co.,Ltd	Yes	50,000
688019	30019	Anji Microelectronics Technology (Shanghai) Co., Ltd.	Yes	50,000

688020	30020	GUANGZHOU FANGBANG ELECTRONICS CO.,LTD	Yes	50,000
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	WEICHAH 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 STAR shares and 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 STAR shares and 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 (100,000 shares for STAR shares and 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. For STAR shares, short selling order must be in multiples of 1 share but should not be less than 200 shares. A short sale of STAR shares of less than 200 shares is allowed provided that the short selling order relates to the sale of all, and not part, of the shareholdings held in respect of a Short Selling Security.
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.