

## **ELECTRONIC TRADING SYSTEM ("ETS") SCHEDULE**

This Electronic Trading System Schedule constitutes an agreement between you and China International Capital Corporation Hong Kong Securities Limited ("**CICC**"), and by dealing or continuing to deal with CICC, you will be bound by the terms of this Schedule.

CICC is required to comply with relevant electronic trading rules, including, where applicable, the new paragraph 18, new Schedule 7 and amendments to Schedule 6 to the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (Code of Conduct) which contains the general principles of electronic trading.

### **1. Verification for Direct Market Access Users**

CICC is required to verify that all clients utilising Direct Market Access ("**DMA**") services meet certain minimum requirements. Therefore, by continuing to use CICC provided DMA services, you hereby acknowledge the following:

- 1.1. You have appropriate arrangements in place to ensure that all of your DMA users are proficient and competent in using the system.
- 1.2. You understand and have the ability to comply with applicable regulatory requirements.
- 1.3. You have in place adequate arrangements to monitor the orders entered through CICC's DMA services.
- 1.4. You do not sub-delegate CICC's DMA services to any third parties that CICC has not approved of in writing.

### **2. Applicability**

This Schedule applies to all transactions entered into by you with or through CICC, whether before or after the date of this Schedule.

Please do not hesitate to contact your investment consultant if you have any questions on the above.