

# Hong Kong Stocks Trading Service Arrangements During Severe Weather



Dear Valued Clients,

## Notice on Trading Arrangements During Severe Weather Effective from 23 September 2024

In line with the trading arrangements under severe weather conditions<sup>1</sup> to be implemented by Hong Kong Exchanges and Clearing Limited (hereinafter referred to as "HKEX") with effect from 23 September 2024, Shenwan Hongyuan Securities (H.K.) Limited / Shenwan Hongyuan Futures (H.K.) Limited (hereinafter collectively referred to as "Shenwan Hongyuan") hereby notifies you that Shenwan Hongyuan will maintain the following services on trading day(s) with severe weather to ensure that your trading and account management remain unaffected as much as possible.

Services Maintained on Trading Day(s) with Severe Weather:

- **Trading Market Services:** Trading, clearing, and settlement services for securities and futures contracts listed in the Hong Kong market (Shanghai-Hong Kong Stock Connect, Shenzhen-Hong Kong Stock Connect, futures and options including normal trading session and after-hours trading session) as well as overseas markets.
- **Over-the-Counter (OTC) Trading Services:** Trading, clearing, and settlement services for OTC products such as structured products and bonds.
- **IPO and Grey Market:** Trading, clearing, and settlement services for initial public offerings (IPOs) and its grey market in Hong Kong.
- **Funds Services:** Clients may conduct fund deposits, withdrawals, internal transfers, and currency exchange services electronically (excluding physical checks).
- **Stock/Stock Options Services:** Stock deposit and withdrawal services via electronic channels (excluding physical stocks).
- **Corporate Actions and Agency Services:** Provision of corporate actions and agency services in Hong Kong and other overseas markets, subject to the specific arrangements affected by custodian banks and relevant regulations.

<sup>1</sup> Severe weather refers to the scenario where a typhoon signal No. 8 or above or a black rainstorm warning is issued by the Hong Kong Observatory, or an "extreme conditions" announcement is made by the HKSAR Government.

## Recommendations for Trading Day(s) with Severe Weather:

1. **Office Closure:** Shenwan Hongyuan offices will be closed to the public on trading day(s) with severe weather. Please contact us or your AE electronically to handle related matters. All appointments for physical services on such day(s) will be cancelled. Please contact us during office hours on normal business day to reschedule new appointments.
2. **Strongly Recommended Electronic Transfers:** Bank branches and counter services may be closed during severe weather, with only electronic channels available. We recommend electronic fund transfers and advise you to review and adjust your electronic transfer limits in advance to ensure flexibility in fund arrangements.
3. **Funds Settlement Obligations:** Clients are advised to pay special attention to fund arrangements and ensure settlement of all outstanding transactions and/or margin calls (settlement obligations) on trading day(s) with severe weather. Shenwan Hongyuan reserves the right to forcibly liquidate clients' account portfolios if settlement obligations are not fulfilled.
4. **Emergency Services:** Shenwan Hongyuan provides limited account maintenance services on trading day(s) with severe weather. For urgent needs, please contact your AE or our Customer Service Hotline at +852 2250 8298 or 400-120-0363 for assistance.
5. **Service Feasibility:** The above service arrangements may be affected by the feasibility and arrangements of our service providers, banks, issuers, custodians, counter parties and execution brokers etc. We will notify you promptly of any changes.
6. **Customer Service Support:** For other service assistance, please feel free to contact your AE or call our Customer Service Hotline at +852 2250 8298 or 400-120-0363.

Shenwan Hongyuan will make every effort to ensure the continuity and stability of our services to safeguard your account interests. Thank you for your understanding and support!

Wishing you successful investments!

Shenwan Hongyuan Securities (H.K.) Limited / Shenwan Hongyuan Futures (H.K.) Limited