

TD Ameritrade Singapore Pte. Ltd.

On November 12, 2020, President Trump signed an executive order (EO 13959) prohibiting United States (“U.S.”) persons and companies from purchasing or holding any securities that invest in mainland Chinese companies with ties to the military of the People’s Republic of China (“CCMCs”). The following companies and/or securities have been identified under Section 1237 of U.S. Public Law 105-261 and is subject to change at any time.

The executive order includes publicly traded securities (equities, bonds and other fixed income), as well as derivative products (options, warrants, etc.) and any products designed to provide exposure to the prohibited companies (mutual funds, ETFs, etc.).

TD Ameritrade relies on third party firms to execute orders and settle non-U.S. securities trades overseas; these firms may cease accepting orders to trade the impacted securities at any time. In the event this occurs, TD Ameritrade may not be able to execute a buy or sell order in the impacted securities for you. Other financial institutions may also be unable or unwilling to accept incoming transfers of these securities which could limit your ability to transfer them out of TD Ameritrade.

Publicly Traded Securities

NAME	CUSIP	SYMBOL	EFFECTIVE DATE
China Communications Construction Company	Y1R36J108	CCCGF	1/11/2021
China Communications Construction Company - Unsponsored ADR	168926103	CCCGY	1/11/2021
CNOOC Limited – ADR	126132109	CEO	2/01/2021
CNOOC Limited	Y1662W117	CEOHF	2/01/2021
China Railway Construction Corp	Y1508P110	CWYCF	1/11/2021
China Railway Construction Corp - Unsponsored ADR	16947L105	CWYCY	1/11/2021
CRRC Corp.	Y1818X100	CRRRF	1/11/2021
Semiconductor MFG – ADR	81663N206	SMICY	2/01/2021
Semiconductor MFG ORDF	G8020E119	SIUIF	2/01/2021

Privately Held Companies

NAME	EFFECTIVE DATE
Aero Engine Corp of China	1/11/2021
Aviation Industry Corp of China (AVIC)	1/11/2021
China Academy of Launch Vehicle Technology (CALT)	1/11/2021
China Aerospace Science & Industry Corp (CASIC)	1/11/2021
China Aerospace Science & Technology Corp (CASC)	1/11/2021
China Construction Technology Co. Ltd. (CCTC)	2/01/2021
China Electronics Corporation	1/11/2021
China Electronics Technology Group Corp (CETC)	1/11/2021
China General Nuclear Power Corp.	1/11/2021



China International Engineering Consulting Corp. (CIECC)	2/01/2021
China Mobile Communications Group	1/11/2021
China Nat'l Chemical Corp (ChemChina)	1/11/2021
China Nat'l Chemical Engineering Group Co, Ltd.	1/11/2021
China National Nuclear Corp	1/11/2021
China National Offshore Oil Corp. (CNOOC)	2/01/2021
China North Industries Group Corp (Norinco Group)	1/11/2021
China Nuclear Engineering & Construction Corp (CNECC)	1/11/2021
China Shipbuilding Corporation (CSIC)	1/11/2021
China South Industries Group Corp (CSGC)	1/11/2021
China Spacesat	1/11/2021
China State Construction Group Co. Ltd.	1/11/2021
China State Shipbuilding Corp (CSSC)	1/11/2021
China Telecommunications Corp.	1/11/2021
China Three Gorges Corporation Ltd.	1/11/2021
China United Network Communications Group Co Ltd.	1/11/2021
Dawning Information Industry Co (Sugon)	1/11/2021
Hangzhou Hikvision Digital Technology Co. Ltd.	1/11/2021
Huawei	1/11/2021
Inspur Group	1/11/2021
Panda Electronics Group	1/11/2021
Semiconductor Manufacturing International Corp. (SMIC)	2/01/2021
Sinochem Group Co Ltd.	1/11/2021

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