

SHENZHEN STOCK EXCHANGE

Certificate Business Instruction

(V2.6, Feb 24, 2017)

This instruction is for overseas SHENZHEN market data users who connect to SZSE via HKPOP directly.

A. Certificate business statement

1. Each market data gateway or file gateway need separate digital certificates. At most 2 USB KEY certificates or 1 FILE certificate for each gateway can be applied.
2. USB EKEY will be sent out by express. It should be keeping plugged in the gateway running server . File certificate can be downloaded on the gateway running server for use, while it have to be picked up only by the authorized person with its ID card in his presence. We suggest overseas users choose USB EKEY.
3. Backup USB EKEY certificate can only be used when the primary certificate have something wrong. Using 2 USB KEY certificates of one gateway simultaneously is forbidden, otherwise, users have to take risks of any possible problems.

B. Application Documents

a) New

1. Please complete appendix: '4-1 SZSE Digital Certificate Application Form (for HKPOP User).doc' and submit it in 3 copies with company seal(or signatures) and signature of the authorized person.
2. Please complete appendix '4-2 The Liability Limitation of SZSE Digital Certificate User.doc' and submit it in 2 copies with company seal (or signatures) and signature of the authorized person.
3. Please complete appendix '4-3 Certificate of authorization of SZSE Digital Certificate Application.doc' and submit it in 2 copies with company seal or signature.
4. Two copies of Certificate of Incorporation with company seal or signatures.
5. Two copies of ID card of the authorized person with his/her signature and date, also sealed by company chop or signature.

b) Update / Unlock

1. Please complete appendix: '4-1 SZSE Digital Certificate Application Form (for HKPOP User).doc' and submit it in 3 copies with company seal (or signatures) and signature of the authorized person.
2. USB EKEY need to be updated or unlocked

Note: All forms can be get from (<http://ca.szse.cn/>) or you can directly e-mail to SSIC: chenxi@cninfo.com.cn to require.

C. Application Procedure

1. Prepare all the documents follow the above instructions.
2. Send the softcopy of all the documents by email to SSIC : chenxi@cninfo.com.cn for review.
3. When getting the confirmation reply from SSIC, please send all the documents and USB EKEY if necessary by express to the following address:

Receiver: Shenzhen Securities Communication Co.,Ltd 交易结算事业部 综合部

Address : Shenzhen Stock Exchange, Shennan Road 1012, Futian District, Shenzhen, Guangdong Province, China

Phone: 0755-88665500

4. Application will be reviewed and processed when the documents are received, it would take 5~10 working days. USB EKEY will be sent out by express. File certificate have to be picked up only by the authorized person with its ID card in his presence.
5. Urgent application can be processed only by authorized person handing in the documents to SZSE by himself/herself in presences. If you have the need, please contact to your client manager.

D. Contact

Website: <http://www.szsi.cn/cpfw/overseas/>

Inquiry email: chenxi@cninfo.com.cn, christy@cninfo.com.cn;

Inquiry phone: 0755-83322421, 0755-83990968;