



Books Close/Open Notice

June 27, 2019 (amended October 8, 2019)

Company Name: Huatai Securities Co., Ltd

Ticker Symbol: HTSC LI
CUSIP Number: 44331T104
US ISIN: US44331T1043
Country: China
Listing Exchange: LSE
Sponsorship Level: Sponsored GDR - Reg S Program
Ratio (ORD:DR): 10:1
Books Closed Date: June 27, 2019
Books Open Date: Close of business October 11, 2019
For: Issuance and Cancellation
Reason: OTHER

CITIBANK WILL BEGIN ACCEPTING ADVANCE CANCELLATION ORDERS BEGINNING ON OCTOBER 14, 2019. ADVANCE ORDERS RECEIVED WILL BE HELD IN A QUEUE PENDING THE BOOKS OPEN DATE IN NEW YORK OF OCT 17, 2019 (FOR CHINA MARKET PROCESSING ON OCTOBER 18, 2019). GDR FEES WILL BE ASSESSED WHEN GDRS ARE ACTUALLY CANCELLED. CANCEL CERTIFICATIONS WILL NOT BE REQUIRED. ONLY DESIGNATED UK BROKERS ARE PERMITTED TO SUBMIT INSTRUCTIONS TO EUROCLEAR AND CLEARSTREAM. INSTRUCTIONS FROM NON-APPROVED BROKERS WILL NOT BE PROCESSED. BROKERS AND INVESTORS SHOULD CONSULT THE 'SSE CROSS-BORDER CONVERSION INSTITUTIONS' WEBPAGE FOR A CURRENT LIST OF APPROVED BROKERS. TO AVOID DELAYS BROKERS ARE STRONGLY ADVISED TO CONSULT WITH THEIR LOCAL CHINA AGENT REGARDING LOCAL FEES AND CALCULATIONS. IT IS UNDERSTOOD THAT BROKERS SHOULD NOT SUBMIT LOCAL PAYMENTS BASED ON THE EARLY QUEUE DATE.

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Depository Receipt Services

Contact Capital Markets Solutions

New York

Michael O'Leary

michael.oleary@citi.com

New York

Jason Zoppel

jason.zoppel@citi.com

London

Michael Woods

michael.woods@citi.com

Group Email

citiadr@citi.com

Bloomberg: ADRC <GO>

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