



List of securities and companies impacted by Executive Order 13959

On November 12, 2020, President Trump signed an executive order ([EO 13959](#)) prohibiting the purchase of any securities that invest in companies established in mainland China with ties to the military of the People's Republic of China ("CCMCs"). The following companies and/or securities have been identified and this list 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, and could limit your ability to transfer out of TD Ameritrade.

Non-U.S. Registered ETFs (as of January 8, 2021)

Name	ISIN
Hang Seng Invest. Index Funds Series-Hang Seng CEI ETF	HK2828013055
ChinaAMC ETF Series - ChinaAMC CSI 300 Index ETF	HK0000123577

Anticipated List of Future Restricted Securities (as of January 4, 2021)

Name	Symbol
AVIC International Holding	AVITF
AviChina Industry & Technology Co Ltd	AVIJF
CGN New Energy	CGEGF
CGN Power Ltd.	CGNWF
China Aerospace International	CHAEF
China Communications Constructions Group	CCCGF
China Communications Constructions Group	CCCGY
China Jinmao Holdings	FRSHY
China Jinmao Holdings	CJNHF
China Mobile Ltd.	CHL
China Mobile Ltd.	CHLKF
China Overseas Land and Investment	CAOVY
China Overseas Land and Investment LTD	CAOVF
China St Constr. Intl HLDG	CCOHF
China ST C/I UNSP/ADR	CCOHY
Chinasoft Intl Ord	CFTLF
China Oilfield SVCS Ltd H	CHOLF
China Railway GP UNSP/ADR	CRWOY

Greentown SVC Group	GRTNF
Zhuzhou CRR Tim ELE Ord	ZHUZF
Zhuzhou CRR Tim UNSP/ADR	ZHUZY
ZTE Corp H	ZTCOF
ZTE Corp UNSP/ADR	ZTCOY
China Railway GP LTD Ord	CRWOF
Jiangling MTR B ADR 144A	JGLMY
China Overseas PPTY Ord	CNPPF
China Overseas GRND OCNS	CSVGF
Greentown China HLDGS LTD	GTWCF
China Telecom Corp.	CHJHF
China Telecom Corp.	CHA
China Unicom HK	CHUFF
China Unicom HK	CHU
CRRC CORP LTD	CRCCY
CRRC CORP LTD	CRRRF
Datang International Power Generation Co., Ltd.	DIPGF
Datang International Power Generation Co., Ltd.	DIPGY
Elkem ASA	ELKEF
Far East Horizon Ltd.	FEZHF
Far East Horizon Ltd.	FEHZY
INSPUR International Ltd.	INPRF
KHD Humboldt Wedag International AG	KHDHF
Nanjing Panda Electronics Co. Ltd.	NJGPF
Charles Modern Pirelli & C SpA	PLLIF
Charles Modern Pirelli & C SpA	PRLLY
Rio Paranapanema Energia S A	DEIPY
Rio Paranapanema Energia S A	DEIWY
Semiconductor Manufacturing International Corporation	SIUIF
Semiconductor Manufacturing International Corporation	SMICY
Sinofert Holdings Limited	SNFRF
Sinofert Holdings Limited	SNFRY

Publicly Traded Securities (as of December 30, 2020)

Name	CUSIP	Symbol
China Communications Construction Company	Y1R36J108	CCCGF
China Communications Construction Company - Un-sponsored ADR	168926103	CCCGY
China Railway Construction Corp	Y1508P110	CWYCF
China Railway Construction Corp - Un-sponsored ADR	16947L105	CWYCY
CRRC Corp.	Y1818X100	CRRRF
Semiconductor MFG – ADR	81663N206	SMICY
Semiconductor MFG ORDF	G8020E119	SIUIF

Privately Held or Shares Not Traded (as of December 30, 2020)

Name
Aero Engine Corp of China
Aviation Industry Corp of China (AVIC)
China Academy of Launch Vehicle Technology (CALT)
China Aerospace Science & Industry Corp (CASIC)
China Aerospace Science & Technology Corp (CASC)
China Construction Technology Co. Ltd. (CCTC)
China Electronics Corporation
China Electronics Technology Group Corp (CETC)
China General Nuclear Power Corp.
China International Engineering Consulting Corp. (CIECC)
China Mobile Communications Group
China Nat'l Chemical Corp (ChemChina)
China Nat'l Chemical Engineering Group Co, Ltd.
China National Nuclear Corp
China National Offshore Oil Corp. (CNOOC)
China North Industries Group Corp (Norinco Group)
China Nuclear Engineering & Construction Corp (CNECC)
China Shipbuilding Corporation (CSIC)
China South Industries Group Corp (CSGC)
China Spacesat
China State Construction Group Co. Ltd.
China State Shipbuilding Corp (CSSC)
China Telecommunications Corp.
China Three Gorges Corporation Ltd.
China United Network Communications Group Co Ltd.
Dawning Information Industry Co (Sugon)
Hangzhou Hikvision Digital Technology Co. Ltd.
Huawei
Inspur Group
Panda Electronics Group
Semiconductor Manufacturing International Corp. (SMIC)
Sinochem Group Co Ltd.

Non-U.S. Registered ETFs (as of December 10, 2020)

Name	ISIN
iShares China Large Cap UCITS ETF USD (Dist)	IE00B02KXK85
iShares MSCI China A UCITS ETF USD (Acc)	IE00BQT3WG13
Xtrackers MSCI China UCITS ETF	LU0514695690

The list of restricted securities is subject to change. If additional companies or securities are added in the future, per the cutoff timelines outlined in the executive order ("EO"), they will be prohibited within 60 days of that determination and clients will have 365 days or less from the date of the determination (to prohibit the company) to liquidate or remove the security from their account(s). These companies are identified in Section 1237 of [U.S.] Public Law 105-261. Note: Regardless of the timeframes outlined in the EO, TD Ameritrade may be unable to find a liquidity provider willing to transact in the shares prior to any official deadlines, meaning we may not be able to execute a buy or sell in the impacted securities earlier than the

EO outlined 60day/365 day cut-offs. Other financial institutions may be unable to accept incoming transfers of these securities, which could limit the ability to transfer out of TD Ameritrade.

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TDA 1002167 WM 01/21