

List of securities and companies impacted by Executive Order 13959

On **June 3, 2021**, President Biden signed a [new executive order](#) superseding the previously issued Executive Order 13959, originally signed in November 2020 by former President Trump. The newly signed order expands its scope to include companies tied to the People's Republic of China's military (CMIC). The previous list of sanctioned companies and securities was replaced with new OFAC list, titled the Non-SDN Chinese Military-Industrial Complex Companies List ([NS-CMIC List](#)). A list of informational FAQs issued by the Dept of the Treasury's Office of Foreign Assets Control (OFAC) can be found [here](#).

We are currently analyzing the impact of the new executive order and new CMIC list of securities. Affected clients will receive a communication notifying them of this change and how it impacts their accounts. Please check this page regularly for updates.

Thank you for your patience while we work to understand how this new executive order impacts the industry and our valued clients. No action is needed at this time.

Information on Prior Executive Order 13959:

In November 2020, former President Trump signed [Executive Order 13959](#), which prohibited United States ("U.S.") persons from investing or [possessing](#) any security, company, or derivative of, that is established in mainland China and has investment exposure to the military of the People's Republic of China ("CCMCs"). This included, but was not limited to, 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.).

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