CITIC Securities Korea

Information Letter on the Methods to Accept/Process Trade Order

This document is prepared in accordance with the Regulation on the Financial Investment Service Business and the KRX Business Regulation in order to provide investors with sufficient information on the order methods available to ensure that the investors can make informed decisions in terms of selecting the adequate order methods.

1. Trade Order Acceptance/Processing Method

Order Service		Branch	DMA	System (Algo) Trading
Order Acceptance	Order Generator	Investor	Investor	Investor
	Generating Location	CITIC Seoul (IT Center)	Investor's Location	Investor's Location
	Entering Tool	CLSK Order Program	Investor Order Input System	Investor Order Input System
	Delivered Through:	Dedicated Line, Telephone, Messenger	Dedicated Line	Dedicated Line
	Accepted by:	CITIC Employees or CITIC Trade Order system	CITIC Trade Order System	CITIC Trade Order System (Algo Trading System)
Validation Checking through		General Ledger (Seoul)	General Ledger (Seoul)	General Ledger (Seoul)
Quote Submission Process		Common Process	Common Process	Common Process
Terms of Use		No Specific Terms	No Specific Terms	No Specific Terms
Expenses		Brokerage Fee	Brokerage Fee	Brokerage Fee

Mode of Market Price Information Being Offered	Not offered to Investor	Not offered to Investor	Not offered to Investor
Service Choice by Investor	☐	☐	☐

* Please contact the relation branch or the customer service center of the Head Office: (ᗰ)822-397-8505(Overseas) & 822-3978482(Domestic))for more details.

2. Using Dedicated Process

A process refers to the logical line used to electronically send/receive quotes and trade execution information by and between the KRX and the Firm. In general, a process is either classified as a process dedicated to perform specified business objectives ("Dedicated Process") or as a Common Process is defined to be all processes other than the Dedicated Processes.

A Dedicated Process and a Common Process may support different processing speed due to such factors as the geographical locations or technological limitations of each process. In principle, all investors are subject to the allocation of a Common Process. An investor which intends to use a Dedicated Process shall submit separate application to use the Dedicated Process.

Upon an investor's application for the use of a Dedicated Process, the Firm shall determine the possible allocation of the Dedicated Process to the applying investor after taking into account the relevant factors including the creditworthiness, professional investor status and the risk management capability of the investor. In addition, the Firm may restrict the use of the Dedicated Process or may re-allocated the Dedicated Process if the number of orders placed by the Dedicated Process user is low or if the execution ratio of trade orders placed via the Dedicated Process is considered to be substantially lower in order to ensure the efficient operations of processes and the protection of general investors.

For more details about the specific terms and conditions to use a Dedicated Process, please contact our branch (ᗰ)822-397-8505(Overseas) & 822-397-8482(Domestic)).

[Dedicated Process Application Procedure]

Client submit application	↳	Sales representative submits application to the responsible Head of Sales for approval	↳	Head of Sales determines whether the applicable fulfills approval criteria and coordinates necessary details.	↳	Approved by Head of Sales

I hereby state and confirm that I was properly informed and explained about the trade order methods, processing methods and the corresponding terms of use as stated above and that I made an informed decision in selecting the trade order/processing methods based on the information offered.

DATED: YYYYMMDD

Name of Client: Sign / Chop

(Name of Legal Representative: Sign / Chop)