

8 January 2021

N03/21 - US Sanctions

Introduction

1. This Notice is an update to N02/21 in relation to [Executive Order 13959](#) (“E.O.”) prohibiting U.S. persons from engaging in certain transactions in the securities of Chinese Sanctioned Companies. Further information in relation to these sanctions can be found at this [link](#).
2. On 28 December 2020, 4 and 6 January 2021, OFAC issued FAQs related to the E.O. FAQs are available [here](#).

Member firms

3. Member firms are reminded that they must conduct their own due diligence and take appropriate measures to ensure that they comply with any applicable current or future sanctions and that they are not using London Stock Exchange’s (“the Exchange”) systems to perform transactions that would be in breach of these sanctions.
4. The Exchange is not a U.S. person for the purpose of the E.O.

Possible changes

5. The Exchange will continue to monitor these sanctions closely and may take additional action as appropriate. Member firms should be aware of the evolving nature of the sanctions and act accordingly.
6. This Notice does not constitute legal advice. Questions about this Notice can be sent to: stockexchangenotices@lseg.com.

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This Stock Exchange Notice will be available on the website at:
www.londonstockexchange.com/en-gb/products/membershiptrading/rulesreg/stockexnoticesnew/

Calls to London Stock Exchange plc may be recorded to enable London Stock Exchange to carry out its regulatory responsibilities