

CEEs - 4Q 2019

Date	Category	Time of Day			
		Opening	Regular	Closing	Within five minutes of a Trading Pause reopen or IPO open
16/10/2019	Tier 2 non-ETPs < \$0.75		1		
8/11/2019	Tier 2 non-ETPs >= \$0.75 and <= \$3.00	1			
14/11/2019	Tier 2 non-ETPs > \$3.00		1		
29/11/2019	Tier 2 non-ETPs > \$3.00		1		
19/12/2019	Tier 1 non-ETP securities > \$3.00		1		
30/12/2019	Tier 2 non-leveraged ETPs > \$3.00	1			
31/12/2019	Tier 2 non-leveraged ETPs > \$3.00	2			