

尊敬的客户您好：

根据证券交易所相关规定和通知，我司特此提示您关注下列证券/债券的相关投资风险及交易风险，建议您严格遵守证券交易所相关交易规则、异常交易实时监控细则的要求，理性投资，合法合规交易。具体风险信息可参见交易所网站相关公告。

为免疑义，以下列示的风险信息仅供参考，未能详尽列示有关证券交易的全部投资风险和可能导致投资损失的所有因素。本通知向您提示注意该股票/债券的二级市场交易风险，不代表您在我司一定持有该等股票/债券。请您务必密切关注证券交易所官方网站不时披露的各类风险提示信息，谨慎做出投资决策。

【瑞银证券】

Risk Reminder Securities 风险提示函证券

	证券代码	状态
1	600303	现存
2	000564	现存
3	600666	现存
4	600589	现存
5	600530	现存
6	300313	现存
7	300799	现存
8	600647	现存
9	600306	现存
10	603603	现存
11	603555	现存
12	159562	现存
13	161116	现存
14	300107	现存
15	300641	现存
16	163208	现存
17	605198	现存
18	300711	现存

Severe Movement Securities 严重异常波动证券

	证券代码	状态
1	300799	新增
2	300711	现存
3	600165	现存
4	603133	现存

	证券代码	状态
5	300742	现存
6	300506	现存
7	300495	现存
8	300641	现存

Abnormal Fluctuation Securities 异常波动证券

	证券代码	开始日期	结束日期
1	300843.SZ	20240424	20240425
2	301486.SZ	20240424	20240425
3	300644.SZ	20240424	20240425
4	300484.SZ	20240423	20240424
5	300495.SZ	20240422	20240424
6	300282.SZ	20240422	20240424
7	300711.SZ	20240422	20240423
8	300845.SZ	20240422	20240423
9	688081.SH	20240419	20240423
10	301213.SZ	20240419	20240423
11	300301.SZ	20240419	20240422
12	688015.SH	20240418	20240419
13	300719.SZ	20240418	20240419
14	300742.SZ	20240418	20240419
15	300495.SZ	20240418	20240419
16	300243.SZ	20240417	20240419
17	300845.SZ	20240417	20240419
18	300050.SZ	20240417	20240419
19	300107.SZ	20240417	20240419
20	300989.SZ	20240417	20240419
21	300711.SZ	20240417	20240419
22	301505.SZ	20240417	20240419
23	300960.SZ	20240417	20240419
24	300875.SZ	20240417	20240419
25	300907.SZ	20240417	20240418
26	301486.SZ	20240417	20240418
27	300411.SZ	20240417	20240418
28	300641.SZ	20240416	20240418
29	300284.SZ	20240416	20240417

	证券代码	开始日期	结束日期
30	300916.SZ	20240416	20240417
31	301516.SZ	20240415	20240417
32	688631.SH	20240415	20240417
33	300374.SZ	20240415	20240416
34	300905.SZ	20240415	20240416
35	300506.SZ	20240415	20240416
36	301326.SZ	20240412	20240416
37	300824.SZ	20240412	20240416
38	300495.SZ	20240412	20240416
39	300894.SZ	20240412	20240416
40	300641.SZ	20240412	20240415
41	300823.SZ	20240411	20240412
42	300641.SZ	20240410	20240411
43	301511.SZ	20240409	20240410
44	301326.SZ	20240409	20240410
45	688573.SH	20240409	20240410
46	300107.SZ	20240408	20240410
47	300139.SZ	20240403	20240408
48	688499.SH	20240402	20240403
49	301238.SZ	20240402	20240403
50	300082.SZ	20240401	20240403
51	301500.SZ	20240401	20240403
52	300477.SZ	20240401	20240402
53	300618.SZ	20240401	20240402
54	300205.SZ	20240329	20240402
55	301022.SZ	20240329	20240401
56	300322.SZ	20240329	20240401
57	300107.SZ	20240328	20240401
58	688066.SH	20240328	20240329
59	300989.SZ	20240328	20240329
60	301091.SZ	20240327	20240328
61	300411.SZ	20240327	20240328
62	300343.SZ	20240326	20240328
63	300648.SZ	20240326	20240327
64	300585.SZ	20240326	20240327
65	300577.SZ	20240325	20240327

Delisting Securities 退市整理证券

证券代码	实施日期	撤销日期	公告日期
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ST, *ST in SHSE 上交所风险警示证券

	证券代码
1	600070.SH
2	600078.SH
3	600112.SH
4	600117.SH
5	600136.SH
6	600165.SH
7	600265.SH
8	600289.SH
9	600303.SH
10	600306.SH
11	600365.SH
12	600375.SH
13	600387.SH
14	600396.SH
15	600462.SH
16	600518.SH
17	600530.SH
18	600543.SH
19	600568.SH
20	600589.SH
21	600599.SH
22	600608.SH
23	600647.SH
24	600654.SH
25	600666.SH
26	600671.SH
27	600715.SH
28	600734.SH
29	600759.SH
30	600766.SH
31	600804.SH
32	600823.SH

	证券代码
33	600898.SH
34	603001.SH
35	603007.SH
36	603030.SH
37	603117.SH
38	603133.SH
39	603557.SH
40	603559.SH
41	603880.SH
42	603963.SH
43	688272.SH
44	688500.SH

<http://www.sse.com.cn/disclosure/listedinfo/riskplate/>

加强可转债风险提示，提醒关注‘赎回’等情形

债券代码	债券简称	赎回日(公布)	赎回日	赎回原因	债券类型
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加强可转债风险提示，提醒关注‘回售’等情形

	债券代码	债券简称	回售公告日	回售日	回售行使开始日	回售行使截止日	债券类型
1	118012.SH	微芯转债	20240422	20240513	20240429	20240508	可转债
2	137127.SH	21 鲁商 EB	20240410	20240426	20240415	20240419	可转债

加强可转债风险提示，提醒关注‘摘牌’等情形

	债券代码	债券简称	退市日期	兑付日	债券类型
1	137149.SH	22 平 02EB	20240429	20240418	可转债

面向公众投资者公开发行且发行人发布偿付风险提示公告的公司债券

债券代码	债券简称	发生日期	事件类型	债券类型
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*注： Risk Alert Types 风险提示释义

Kindly note that the risk alert types listed below are for your reference and only based on our interpretation of current rules and notices issued by the stock exchanges which may change in the future. We take no responsibility for the accuracy and completeness of our interpretation of such rules and notices.

【以下释义基于我司对目前证券交易所相关规定和通知的解读，仅供参考。未来证券交易所对风险提示证券的类型及要求等可能会发生变化。我司不对该释义的准确性和完整性负责。】

Severe Movement Securities (严重异常波动证券) – Securities that have met specific exchange defined criteria with respect to severe securities price movement. Securities list available on SSE / SZSE websites and from data vendor.

- Trading subject to abnormal trading surveillance with thresholds tightened by up to 50%
- Trading pace monitoring [RMB 10m per minute / reduced to RMB 2m per minute for severe movement stocks that are ST at the same time]

Risk Reminder Securities (风险提示函证券) – Securities that exchange deems necessary to remind investors about risk of trading e.g. sharp moves in securities price that exchange considers deviated from company fundamentals. Securities list compiled based on ad-hoc, non-public exchange communication.

- Trading subject to abnormal trading surveillance with thresholds tightened by up to 50% on side of reminder [buy or sell]

ST, *ST & Delisting Securities (风险警示板及退市整理证券) – Securities under circumstances which may impair investor interest or subject to delisting. Securities list available on SSE / SZSE websites and from market data

- Trading subject to abnormal trading surveillance with thresholds that are specifically tightened
- Additionally for ST and *ST – (1) reduced limit up/down range [$\pm 5\%$] and (2) daily buy quantity limit of 500,000 shares per investor ID [not applicable to Connect because all ST securities are sell only]