

有關：中華通北向交易實名制實施詳情

多謝 閣下選用廣發証券(香港)經紀有限公司(“廣發証券(香港)”)之帳戶服務。

中華通北向交易(“北向交易”)實名制將於 **2018年9月17日(星期一)**正式實施。

客戶如希望於制度正式實施後進行北向交易，必須填寫、簽署及提交“中華通北向交易服務申請表(適用於個人/聯名帳戶)”或“中華通北向交易服務申請表(適用於公司/機構帳戶)”，廣發証券(香港)將上傳客戶已提交申請表格的個人或公司資料予香港交易及結算所有限公司(“港交所”)。

請注意，客戶須於北向交易服務申請表格提交後之兩個交易日，才能進行北向交易。例如客戶在T交易日提交北向交易服務申請，廣發証券(香港)會在T+1交易日上傳客戶之個人資料或公司資料予港交所，客戶在T+2交易日才可進行北向交易。有鑑於此，現提醒客戶若有北向交易之需要，應盡早安排及提交北向交易服務申請表。

倘有任何疑問，請致電客戶服務熱線(852) 3719 1288 / 40086 95575 或 電郵至 seccs@gfgroup.com.hk 查詢。謝謝！

廣發証券(香港)經紀有限公司謹啟
2018年09月12日

12th September 2018

Re: Implementation of investor identification for Northbound trading under Stock Connect

Thank you for choosing GF Securities (Hong Kong) Brokerage Limited (“GFSHK”).

The investor identification regime for Northbound trading (“NB trading”) under Mainland-Hong Kong Stock Connect will be officially implemented on **17 September 2018 (Monday)**.

Clients who want to carry out NB trading after the implementation, please complete, sign and submit the “Northbound trading application form (For Individual/Joint Account)” or “Northbound trading application form (For Corporate/Institutional Account)” . GFSHK will upload the client’ s individual or corporate information for those clients who applied the NB trading service to the Hong Kong Exchanges and Clearing Limited (“HKEX”).

Please be aware that 2 trading days of processing time is required after clients submitted the NB trading application form, in order to activate the NB trading. For example, if client submitted the application form on trading day “T” , GFSHK will upload the client’ s individual or corporate information to the HKEX on next trading day “T+1” , then client can carry out NB trading on “T+2” day. Therefore, client is recommended to arrange and submit the NB trading application form as early as possible if client needs to carry out NB trading.

If you have any questions, please contact our Customer Services Hotline at (852) 3719-1288 / 40086 95575 or email to seccs@gfgroup.com.hk. Thank you.

Yours faithfully,
GF Securities (Hong Kong) Brokerage Limited