

## 有關：滬股通及深股通引入北向交易投資者識別碼制度通知

多謝 閣下選用本公司帳戶服務。

證券及期貨事務監察委員會（證監會）公布，內地與香港股票市場交易互聯互通機制下的滬股通及深股通將於2018年第三季度實施引入滬深港通北向交易（“北向交易”）投資者識別碼制度。

在北向交易投資者識別碼模式下，廣發証券(香港)經紀有限公司（“廣發証券(香港)”）須向每位北向交易的客戶編派一個唯一的券商客戶編碼。每位券商客戶編碼應與該特定客戶的客戶識別信息配對，該等信息包括客戶名稱，身份證明文件的簽發國家、類別及號碼。廣發証券(香港)須向聯交所提交一份文件，即載有其所有北向交易客戶的券商客戶編碼與客戶識別信息的配對文件（「配對文件」）。如聯交所未能於T-1日截止時間或之前收到個別客戶的券商客戶編碼與客戶識別信息配對資料，或該等配對資料未能通過相關的有效性核查，該客戶不得在T日就北向交易落盤。「T日」及「T-1日」指在現時北向交易日曆內的北向交易日。

滬股通及深股通引入北向交易投資者識別碼制度將涉及香港聯交所及其附屬公司收集和使用客戶之個人資料，以及向內地交易所及中國證監會轉交有關資料。有鑒於此，若閣下希望於北向交易投資者識別碼制度實施後仍繼續進行北向交易操作，則閣下需填寫、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)”。否則，於相關制度實施後，閣下將不能再進行北向交易買入，只能操作將現有持倉沽出。

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](mailto:seccs@gfgroup.com.hk) 查詢。謝謝！

廣發証券(香港)經紀有限公司謹啟  
2018年05月18日

Date:18th May 2018

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

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

The Securities and Futures Commission (SFC) announces that an investor identification regime for Northbound (“NB”) trading under Mainland-Hong Kong Stock Connect will be implemented by the third quarter of 2018.

Under the NB Investor identification regime, GF Securities (Hong Kong) Brokerage Limited (“GFSHK”) is required to assign a unique Broker-to-Client Assigned Number (“BCAN”) to each of our NB trading clients. Each BCAN should be mapped to the Client Identification Data (“CID”) of that particular client which includes the client’s name, identity document issuing country, ID type and ID number. GFSHK is required to submit the BCAN-CID mappings of all our NB trading clients

in one file (i.e. "BCAN-CID Mapping File") to SEHK. If the BCAN-CID mapping of a client has not been received by SEHK at or before the prescribed T-1 day cut-off time, or such mapping information has failed the relevant validation check, the corresponding client shall not be allowed to place NB orders on T day. "T day" and "T-1 day" refer to NB trading days under the current NB trading calendar.

The investor identification regime for NB trading will entail the collection and use of personal data by the SEHK and its subsidiaries, as well as its transfer to the Mainland exchanges and the China Securities Regulatory Commission. **Upon the implementation of the investor identification for NB trading under Stock Connect, your authorization and written consent are required for on-going NB trading service under Stock Connect. Please complete, sign and submit the "Northbound trading application form (For Individual/Joint Account)" or "Northbound trading application form (For Corporate/Institutional Account)" for application.** Or else, you can only allow to place sell orders with your existing stocks holding under Stock Connect.

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

Yours faithfully,

GF Securities (Hong Kong) Brokerage Limited