

尊敬的客戶：

**有关：中华通北向交易的规则修订通知- 限制内地投资者参与沪深股通的一年过渡期即将结束**

多谢 阁下/贵司选用广发证券(香港)经纪有限公司（下称「本公司」）之服务。

根据香港联合交易所有限公司（「香港交易所」）在 2022 年 6 月 24 日发出有关中国证券监督管理委员会（中国证监会）、上海证券交易所（上交所）、深圳证券交易所（深交所）有关沪深股通的规则修订通知。有关修定为中国证监会、上交所、深交所发布了有关限制内地投资者参与沪深股通交易的规则修订，并于 2022 年 7 月 25 日（生效日）生效。

根据有关修订，自 2023 年 7 月 24 日起，内地投资者不得透过沪深股通交易主动买入任何中华通证券（包括参与配股），但因公司行为（如分配股票股利）等被动取得中华通证券的情形除外。

详情请参阅香港交易所之有关通告：<https://www.hkex.com.hk/-/media/HKEX-Market/Services/Circulars-and-Notices/Participant-and-Members-Circulars/SEHK/2022/CT08822C.pdf>。

倘有任何疑问，请致电客户服务热线(852) 3719-1288/4008695575 与本公司查询。

广发证券(香港)经纪有限公司谨启  
2023 年 7 月 14 日

Date: 14 July 2023

Dear Valued Client,

**Re: Amendment of Rules in Relation to Northbound Trading of Stock Connect- 1-year transitional period in relation to restricting Mainland investors from Northbound Trading under Stock Connect will end soon**

Thank you for choosing the services of GF Securities (Hong Kong) Brokerage Limited (“GF SHK”)!

On 24 June 2022, the Stock Exchange of Hong Kong Limited (“HKEX”) announced the amendment of rules in relation to northbound trading of stock connect by China Securities Regulatory Commission (CSRC), Shanghai Stock Exchange (SSE) and Shenzhen Stock Exchange (SZSE), which the CSRC, SSE and SZSE have announced their rule amendments (in Chinese only) in relation to restricting Mainland investors from Northbound Trading under Stock Connect with effect from 25 July 2022 (the Effective Date).

Based on the amendment of rules, with effect from 24 July 2023, Mainland investors shall not proactively buy any China Connect Securities through Northbound Trading under Stock Connect (including subscription for right issues (配股)), but excluding obtaining China Connect Securities passively as a result of certain corporate actions (such as distribution of stock dividends).

For more details, please refer to the corresponding circular published by HKEX:  
<https://www.hkex.com.hk/-/media/HKEX-Market/Services/Circulars-and-Notices/Participant-and-Members-Circulars/SEHK/2022/CT08822E.pdf>

Should you have any questions, please feel free to contact our customer service hotline at (852) 3719-1288/4008695575.

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