

尊敬的客戶：

有關: 中華通北向交易的規則修訂通知

多謝 閣下/貴司選用廣發證券(香港)經紀有限公司(下稱「廣發證券(香港)」或「本公司」)之服務。

根據香港聯合交易所有限公司(「香港交易所」)在 2022 年 6 月 24 日發出有關中國證券監督管理委員會(中國證監會)、上海證券交易所(上交所)、深圳證券交易所(深交所)有關滬深股通的規則修訂通知。有關修訂為中國證監會、上交所、深交所發佈了有關限制內地投資者參與滬深股通交易的規則修訂,並於 2022 年 7 月 25 日(生效日)生效。

背景

中國證監會、上交所和深交所於 2021 年 12 月 17 日(星期五)發佈了有關限制內地投資者參與滬深股通交易的市場諮詢。內地投資者包括:(a) 持有中國內地身份證明文件的個人,(b) 聯名帳戶持有人(如聯名帳戶持有人中有任何一方屬(a)條規定的內地投資者),及(c)中國內地註冊的法人及非法人組織。

下述投資者不被視為內地投資者,並仍可繼續通過滬深股通買賣中華通證券:

- 持有前往港澳通行證(俗稱單程證)或取得境外永久居留身份證明文件的個人
- 內地註冊法人和非法人組織在香港或海外設立的分支機構或子公司¹

實施安排

根據中國證監會、上交所和深交所的安排:

- 自 2022 年 7 月 22 日起,廣發證券(香港)不再為內地投資者開通新的券商客戶編碼,即以「CHN」為證件簽發國家/地區的券商客戶編碼的註冊(CHN BCAN)將被拒絕;
- 自生效日起將設置一年過渡期(2022 年 7 月 25 日至 2023 年 7 月 23 日)。在過渡期內,已註冊 CHN BCAN 的內地投資者可繼續使用該註冊的 CHN BCAN 通過滬深股通買賣中華通證券;
- 於過渡期內,已註冊 CHN BCAN 的內地投資者若因其券商倒閉等特殊情形無法通過滬深股通買賣中華通證券,可在廣發證券(香港)開通滬深股通交易帳戶並註冊新的 CHN BCAN;及
- 過渡期結束後(2023 年 7 月 24 日起):(A) 廣發證券(香港)應註銷其內地投資者客戶的全部 CHN BCAN;(B) 內地投資者不得通過滬深股通主動買入中華通證券(包括參與配股),但因公司行為(如分配股票股利)等被動取得中華通證券的情形除外;(C) 內地投資者持有的中華通證券可通過附加聯交所規定的指定預設值繼續賣出,具體安排香港交易所會於稍後公佈。

詳情請參閱香港交易所之有關通告:<https://www.hkex.com.hk/-/media/HKEX-Market/Services/Circulars-and-Notices/Participant-and-Members-Circulars/SEHK/2022/CT08822C.pdf>。

本公司亦提醒客戶,如 閣下/貴司的帳戶信息(如身份信息、聯絡方式、稅務地區等資料)有任何更新,應盡快通知本公司以協助更新有關信息以確保 閣下/貴司於本公司的帳戶信息準確。倘有任何疑問,請致電客戶服務熱線(852) 3719-1288/4008695575 與本公司查詢。

廣發證券(香港)經紀有限公司謹啟
2022 年 7 月 19 日

¹ 為提交券商客戶編碼與客戶識別信息的配對資料(CHN BCAN),此類機構可使用其商業登記證作為身份證明文件。

Date: 19 July 2022

Dear Valued Client,

Re: Amendment of Rules in Relation to Northbound Trading of Stock Connect

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

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).

Background

The CSRC, SSE and SZSE published market consultation (in Chinese only) in relation to restricting Mainland investors from Northbound Trading under Stock Connect on Friday, 17 December 2021. Mainland investors include: (a) individuals that possess Mainland ID documents; (b) holders of a joint account if one of the holders is considered as Mainland investor under (a); and (c) corporate or unincorporated entities which are registered in the Mainland.

The following investors will not be considered as “Mainland investors” and may continue to buy and sell China Connect Securities through Northbound Trading under Stock Connect:

- Any individual who holds a Permit for Proceeding to Hong Kong and Macao, i.e. One-way Permit (前往港澳通行證, i.e. 單程證) or who has obtained an identity document as proof of permanent residence in a country or region outside Mainland China
- Any branch or subsidiary of a corporate or unincorporated entity registered in Mainland China which branch or subsidiary is lawfully registered in Hong Kong or overseas¹

Implementation arrangements

According to the CSRC, SSE and SZSE:

- **Effective from 22 July 2022, GFSHK shall not register new Broker-to-Client Assigned Number (BCAN) for clients who are Mainland investors, i.e. registration of new BCANs with ‘CHN’ as the country/ region of issuance (CHN BCANs) will be rejected;**
- There will be a 1-year transitional period (from 25 July 2022 to 23 July 2023) from the effective Date, during which Mainland investors with registered CHN BCANs could still buy and sell China Connect Securities through Northbound Trading under Stock Connect with the registered CHN BCANs;
- During the transitional period, Mainland investors with registered CHN BCANs who cannot buy or sell China Connect Securities through Northbound Trading due to exceptional circumstances including bankruptcy of their brokers could open Northbound Trading account at GFSHK for new CHN BCANs registration; and
- After the transitional period (from 24 July 2023): (A) GFSHK shall delete all CHN BCANs for their clients who are Mainland investors, (B) 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 corporate actions (such as distribution of stock dividends), and (C) Existing China Connect Securities held by Mainland investors could be sold by tagging the reserved value prescribed by the Exchange, the arrangements of which will be announced in due course.

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>

Please be reminded that you/your company should notify GFSHK promptly to ensure the account information is update and accurate, if there is any change of account information (e.g. identity information, contact details and tax jurisdiction etc.) in relation to you/your company. Should you have any questions, please feel free to contact our customer service hotline at (852) 3719-1288/4008695575.

GF Securities (Hong Kong) Brokerage Limited

¹ For BCAN-CID Mapping Files (CHN BCAN) submission purposes, these entities may use their business registration certificates as identification documents.