

尊貴的客戶：

有關：香港證券市場實施投資者識別碼制度及場外證券交易匯報制度的通知

多謝 閣下選用廣發證券(香港)經紀有限公司(「廣發證券香港」或「本公司」)的服務!

證券及期貨事務監察委員會(證監會)公布,計劃於2022年下半年及2023年上半年對香港證券市場實施香港投資者識別碼制度及場外證券交易匯報制度。在香港證券市場投資者識別碼制度及場外證券交易匯報制度下,廣發證券香港須向每位參與香港證券市場交易的客戶編派一個唯一的識別碼(即“券商客戶編碼”)。每個券商客戶編碼應與該特定客戶的客戶識別信息資料配對,該等信息包括身份證明文件上的客戶全稱、簽發國家或司法管轄區、類別及身分證明文件號碼。

根據證監會的指引,廣發證券香港應向其現有證券交易帳戶持有人(不論國籍)發出通知,告知客戶有關在香港投資者識別碼制度下的身分證明文件排序表,並要求客戶根據排序表提供所需的身分證明文件(如尚未取得)或身分證明文件的更新資料(如適用),以遵從香港投資者識別碼制度的規定。

不同客戶類別的客戶識別信息收集應根據以下清單首述的身分證明文件,除非客戶並無持有該文件,則應使用所提述的下一份文件,如此類推:

- (i) 就個人客戶而言將按以下優先次序:(1)香港身份證;或(2)國民身分證明文件;或(3)護照;
- (ii) 就公司客戶而言將按以下優先次序:(1)法律實體識別編碼(legal entity identifier,簡稱LEI)登記文件;或(2)公司註冊證明書;或(3)商業登記證;或(4)其他同等文件
- (iii) 就信託而言,(i)或(ii)(視情況而定)的受託人資料。然而,若信託是一個投資基金,則應收集該信託在廣發證券香港開立交易帳戶的資產管理公司或個別基金(視何者適用而定)的客戶識別信息;及
- (iv) 就聯名帳戶的客戶而言,應提供屬同一券商客戶編碼的聯名帳戶內所有客戶的客戶識別信息,身份證明文件次序與上述建議規定一致,視乎客戶的性質而定。

廣發證券香港須向聯交所提交一份檔案,即載有其所有香港證券市場交易客戶的券商客戶編碼與客戶識別信息的配對檔案(「配對檔案」)。如聯交所未能於T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檔案,或該等配對檔案未能通過相關的有效性核查,該客戶不得進行香港證券市場交易落盤買入。「T日」及指在現時香港證券市場交易日曆內的香港證券市場交易日。

香港證券市場實施投資者識別碼制度及場外證券交易匯報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。有鑒於此,若閣下希望於香港證券市場投資者識別碼制度及場外證券交易匯報制度實施後仍繼續進行香港證券市場交易操作,閣下需提交以下表格及所需證明文件。否則,於相關制度實施後,閣下將不能再進行香港證券市場之交易買入,只能將現有持倉沽出。

所需採取的行動 - 個人/聯名客戶:

- (1) 提交同意書
 - i. 登錄易淘金國際應用程式(APP)或廣發證券國際版(PC/Web)在線提交「客戶同意書」;或
 - ii. 填妥及簽署附上之“個人信息收集聲明 - 有關：在香港投資者識別碼制度及場外證券交易匯報制度下向聯交所及/或證監會轉移個人資料(適用於個人/聯名帳戶)”內的「客戶同意書」;或/及
- (2) 更新身分證明文件(如適用)
 - i. 填妥及簽署“更改帳戶資料表格”,表格可於本公司官網下載(路徑: 下載 > 表格下載 > 常用表格)
 - ii. 提供身分證明文件的核證本。

例子: 個人/聯名客戶如持有香港身份證,但開戶時以其他身分證明文件(如護照或其他國家的國民身分證)或未有於廣發證券香港登記香港身份證,請**必需**同時提交香港身份證;如個人/聯名客戶未持有香港身份證,但開戶時以其他身分證明文件(如護照)或未有於廣發證券登記其他國家的國民身分證,請**必需**同時提交其他國家的國民身分證。

所需採取的行動 - 公司客戶:

(1) 提交申請

- i. 填妥及簽署附上之“香港證券市場交易服務申請表(適用於公司/機構帳戶);

(2) 更新身分證明文件 (如適用)

- i. 填妥及簽署“更改帳戶資料表格”，表格可於本公司官網下載 (路徑: 下載 > 表格下載 > 常用表格); 及
- ii. 提供身分證明文件的核證本。

例子: 公司客戶如持有 **LEI**，但開戶時以其他登記文件 (如公司註冊證明書或商業登記證或其他同等文件)，請**必需**提交 **LEI** 登記文件; 如公司客戶持有公司註冊證明書，但開戶時以其他登記文件 (如商業登記證或其他同等文件)，請**必需**提交公司註冊證明書，如此類推。

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

2022年3月21日

21 March 2022

Dear Valued Customer,

Re: Notification about Implement of Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime

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

The Securities and Futures Commission (“SFC”) announces that an investor identification regime at trading level for the securities market in Hong Kong (“HKIDR”) and an over-the-counter securities transaction reporting regime for shares listed on the Stock Exchange of Hong Kong (“OTCR”) plan to implement in the second half of 2022 and the first half of 2023. Under the HKIDR and OTCR, GFSHK is required to assign a unique Broker-to-Client Assigned Number (“BCAN”) to each of our Hong Kong securities market trading clients. Each BCAN should be mapped to the Client Identification Data (“CID”) of that particular client which includes the full name, issuing country or jurisdiction, ID type and ID number shown on client’s identity document.

Accordance with the SFC’s guideline, GFSHK should issue a notification to the existing securities trading account holders (regardless of nationality) to inform them of the waterfall of identity documents under the HKIDR and request an identity document required under the waterfall (if not already obtained) or updated identity document information, as appropriate, to comply with the HKIDR.

The identity document type order of priority with the different type of clients for the purpose of CID of a client should be collected from the identity document that which is first mentioned in the list below save that where the client does not hold such document, the next mentioned document should be used and so forth:

- (i) for individual clients should be: (1) Hong Kong Identify Card (HKID); (2) national identification document; (3) passport.
- (ii) for corporate client should be: (1) legal entity identifier (LEI) registration document; or (2) certificate of incorporation; or (3) certificate of business registration; or (4) other equivalent identity document;
- (iii) for a trust, the trustee’s information as in (i) or (ii) (as the case may be). However, in the case of a trust which is an investment fund, CID of the asset management company or the individual fund, as appropriate, has opened a trading account with GFSHK should be obtained; and
- (iv) for clients of a joint account, the CID for all clients named for a joint account should be provided under the same BCAN assigned to that account, the identity document type order of priority should be in line with the above proposed requirements, depending on the nature of the client.

GFSHK is required to submit the BCAN-CID mapping files of all our HK securities market 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 cut-off time, or such mapping information has failed the relevant validation check, the corresponding client shall not be allowed to place the buy orders in HK securities market. “T day” refer to HK securities market trading days under the current HK securities market trading calendar.

The HKIDR and OTCR will entail the collection and use of personal data by the SEHK and its subsidiaries. **Upon the implementation of the HKIDR and OTCR, your authorization and written consent are required for on-going HK securities market trading service. Please provide the below application form and documents. Or else, you can only allow to place sell orders with your existing stocks holding under HK securities market.**

Action should be taken – individual/joint client

- (1) Submit the Client Consent
 - i. Login E-commerce through APP, PC or Web to submit “Client Consent”; or
 - ii. Complete and sign the part of “Client Consent” under the attached Personal Information Collection Statement - Re: Transfer of personal data to SEHK and/or the SFC under the HKIDR and OTCR (For Individual/Joint Account)” for application;
- (2) Update of identity documents (if applicable)
 - i. Complete and sign the “Change of Account Details Form”; and
 - ii. Certified true copy of identify documents.

For example: If an individual/joint client holds a HKID, but registered other identity documents (such as a passport

or other national identity card) when opening an account or has not registered a HKID in GFSHK, please submit a HKID at the same time; If an individual/joint customer does not holds a HKID, but registered other identity documents (such as a passport) when opening an account or has not registered other national identity card in GFSHK, please submit an other national identity card at the same time.

Action should be taken – corporate client

- (1) Submit the application
 - i. Complete and sign the attached “HK securities market trading application form (For Corporate/ Institutional Account)” for application;
- (2) Update of identity documents (if applicable)
 - i. Complete and sign the “Change of Account Details Form”; and
 - ii. Certified true copy of identify documents.

For example: If a corporate client holds a LEI, but registered other identity documents (such as certificate of incorporation; or certificate of business registration; or other equivalent identity document) when opening an account or has not registered a LEI in GFSHK, please a LEI registration document at the same time; If a corporate client does not holds a LEI, but registered other identity documents (such as a certificate of business registration or other equivalent identity document)) when opening an account or has not registered certificate of incorporation in GFSHK, please submit a certificate of incorporation at the same time, the next mentioned document should be used and so forth.

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