廣發証券(香港)經紀有限公司
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尊敬的客户：

有关：香港证券市场实施投资者识别码制度及场外证券交易汇报制度的更新通知

多谢 阁下选用广发证券(香港)经纪有限公司(「我们」)的服务!

证券及期货事务监察委员会（证监会）将于 2023 年 3 月 20 日正式推出香港证券市场投资者识别码制度(「香港投资者识别码制度」)，而场外证券交易汇报制度将于 2023 年 9 月 25 日推出。在香港投资者识别码制度及场外证券交易汇报制度下， 我们须向每位参与香港证券市场交易的客户编派一个唯一的识别码(即 "券商客户编码")。每个券商客户编码应与该特定客户的客户识别信息资料配对，该等信息包括身份证明文件上的客户全称、签发国家或司法管辖区、类别及身份证明文件号码。

对于不同类别客户的身份证明文件要求

根据证监会的指引，我们应向其现有证券交易帐户持有人（不论国籍）发出通知，告知客户有关在香港投资者识别码制度下的身份证明文件排序表，并要求客户根据排序表提供所需的身份证明文件（如尚未取得）或身份证明文件的更新资料（如适用），以遵从香港投资者识别码制度的规定。

不同客户类别的客户识别信息收集应根据以下清单首述的身份证明文件，除非客户并无持有该文件，则应使用所提述的下一份文件，如此类推：

(i) 就个人客户而言将按以下优先次序：(1)香港身份证；或(2)国民身份证明文件；或(3)护照；
(ii) 就公司客户而言将按以下优先次序：(1)法律实体识别编码（legal entity identifier，简称 LEI）登记文件；或(2)公司注册证明书；或(3)商业登记证；或(4)其他同等文件
(iii) 就信托而言，(i)或(ii)（视情况而定）的受托人资料。然而，若信托是一个投资基金，则应收集该信托在我们开立交易帐户的资产管理公司或个别基金（视何者适用而定）的客户识别信息；及
(iv) 就联名帐户的客户而言，应提供属同一券商客户编码的联名帐户内所有客户的客户识别信息，身份证明文件次序与上述建议规定一致，视乎客户的性质而定。

遵守包括《个人资料（私隐）条例》（《私隐条例》）在内的适用资料私隐法例

对于我们按香港投资者识别码制度下收集、储存、处理及使用与个人客户有关的客户识别信息相关的个人资料，我们透过收取该等个人客户的书面或其他方式的明示同意以符合证监会的要求及包括《私隐条例》在内的相关的资料私隐法例。

于香港投资者识别码制度实施后客户未能提供上述要求的影响

我们须向联交所提交一份档案，即载有其所有香港证券市场交易客户的券商客户编码与客户识别信息的配对档案（「配对档案」）。如联交所未能于 T 日截止时间或之前收到个别客户的券商客户编码与客户识别信息配对档案，或该等配对档案未能通过相关的有效性核查，该客户不得进行香港证券市场交易落盘买入。「T 日」及指在现时香港证券市场交易日历内的香港证券市场交易日。

香港证券市场实施投资者识别码制度及场外证券交易汇报制度将涉及香港联交所及其附属公司收集和使用客户之个人资料。有鉴**于此，若 阁下希望于香港投资者识别码制度及场外证券交易汇报制度实施后仍继续进行香港证券市场交易操作， 阁下需提交以下表格及所需证明文件。否则，于相关制度实施后， 阁下将不能再进行香港证券市场之交易买入，只能将现有持仓沽出。**

所需采取的行动

个人/联名客户:

(1) 提交同意书

i. 登录易淘金国际应用程式(APP)或 广发证券国际版(PC/Web)在线提交「客户同意书」;或

ii. 填妥及签署 “个人信息收集声明 - 有关: 在香港投资者识别码制度及场外证券交易汇报制度下向联交所及 / 或证监会转移个人资料(适用于个人/联名帐户)”内的「客户同意书」, 表格亦可于我们官网下载 (路径: 下载 > 表格下载 > 附加表格); 或/及

(2) 更新身份证明文件 (如适用)

i. 填妥及签署 “更改帐户资料表格”, 表格亦可于我们官网下载 (路径: 下载 > 表格下载 > 常用表格)

ii. 提供身份证明文件的核证本。

*例子: 个人/联名客户如持有香港身份证, 但开户时以其他身份证明文件(如护照或其他国家的国民身份证)或未有于我们登记香港身份证, 请**必需**同时提交香港身份证; 如个人/联名客户未持有香港身份证, 但开户时以其他身份证明文件(如护照)或未有于我们登记其他国家的国民身份证, 请**必需**同时提交其他国家的国民身份证。*

公司客户:

(1) 提交申请

i. 填妥及签署 “香港证券市场交易服务申请表(适用于公司/机构帐户)” , 表格亦可于我们官网下载 (路径: 下载 > 表格下载 > 附加表格);

(2) 更新身份证明文件 (如适用)

i. 填妥及签署 “更改帐户资料表格”, 表格亦可于我们官网下载 (路径: 下载 > 表格下载 > 常用表格); 及

ii. 提供身份证明文件的核证本。

*例子: 公司客户如持有 LEI, 但开户时以其他登记文件 (如公司注册证明书或商业登记证或其他同等文件), 请**必需**提交 LEI 登记文件; 如公司客户持有公司注册证明书, 但开户时以其他登记文件 (如商业登记证或其他同等文件), 请**必需**提交公司注册证明书, 如此类推。*

倘有任何疑问, 请致电客户服务热线(852) 3719 1288 / 40086 95575 或 电邮至 seccs@gfgroup.com.hk 查询。谢谢!

广发证券(香港)经纪有限公司谨启
2023 年 3 月 13 日

廣發証券(香港)經紀有限公司
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Date: 13 March 2023

Dear Valued Customer,

Re: Notification about Update 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") will be launched on 20th March 2023 and an over-the-counter securities transaction reporting regime for shares listed on the Stock Exchange of Hong Kong ("OTCR") will be launched on 25th September 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.

Requirement of identity documents for each type of clients

In 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.

Compliance with applicable data privacy law including Personal Data (Privacy) Ordinance (PDPO)

Regarding the collection, storage, process and use of personal information in relation to the client identification data of individual clients collected by GFSHK under the HKIDR, GFSHK is required to obtain written or other forms of express consents from those individual clients in accordance with the SFC's requirements and all applicable data privacy laws including the PDPO.

Consequent for the client is not provided the above mentioned requirements on or before implement of HKIDR and OTCR

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.

Corporate client:

(1) Submit the application

i. Complete and sign the "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