



Notice of the arrangement of

1. **Hong Kong Investor Identification Regime (HKIDR);**
2. **Over-The-Counter Securities Transaction Reporting Regime (OTCR); and**
3. **Fast Interface for New Issuance (FINI)**

To promote the long-term development of the market, the Securities and Futures Commission (SFC) will enhance its market surveillance function by implementing HKIDR and OTCR, which will help maintain market integrity and strengthen investor protection. With the two regimes, SFC will be more effective in detecting suspicious trading activities as it enables SFC to quickly obtain information about investors.

The Hong Kong Exchanges and Clearing Limited (HKEX) also intends to leverage on the HKIDR and OTCR for investor identification in FINI, through which securities market participants should collectively benefit by adopting similar investor ID regimes for both primary and secondary market activities in Hong Kong.

To comply with the relevant rules and requirements of the Stock Exchange of Hong Kong (SEHK) and SFC in effect from time to time, we serve this notice to all clients who maintain securities accounts with our bank (relevant clients) prior to the above implementation, with the purpose of giving you the relevant requirements, collecting information and consent (applicable to individual clients only), and informing you of the consequence of not fulfilling the requirements.

What we will do under these regimes

For the purpose of the HKIDR, our bank will assign each relevant customer a unique Broker-to-Client Assigned Number (BCAN), which will be provided together with the client identification data to SFC and SEHK when a relevant customer who has placed or proposes to place an on-exchange order or an off-exchange trade (reportable to the SEHK) in securities listed or traded on SEHK's trading system. Under the OTCR, our bank will report to the SFC of over-the-counter transactions in ordinary shares and real estate investment trusts listed on SEHK as well as deposits and withdrawals of physical share certificates. Upon the implementation of FINI, our bank will submit clients' BCAN as the client identifier to the Hong Kong Securities Clearing Company Limited (HKSCC) via FINI for initial public offering (IPO) application.

Clients should do the following:

1. Updating our bank for any change to client identification data (CID), which includes the following information: full name, issuing country or jurisdiction, document type and document number as shown on the identify document.
2. Providing an identity document according to the highest order of priority as set out below (i.e. the document

first mentioned in the list below save that where the client does not hold such document, the next mentioned document should be provided and so forth):

- (i) In the case of a natural person, his or her (1) HKID card; or (2) national identification document; or (3) passport;(E.g. If the relevant client is a HKID card holder but did not register with our bank his/her HKID card during account opening, the client should update our bank his/her HKID as the CID)
- (ii) In the case of a corporation, its (1) legal entity identifier (LEI) registration document; or (2) certificate of incorporation; or (3) certificate of business registration; or (4) other equivalent identity document; and
- (iii) In the case of a trust, the trustee information as in (i) or (ii) above, as the case may be.

However, if the trust is an investment fund (i.e. collective investment schemes), the CID of the asset management company or the individual fund, as appropriate, which has opened a trading account with our bank should be provided.

3. Giving our bank the consent for the use of data for the purposes of the above regimes (applicable to individual clients only). To comply with the Personal Data (Privacy) Ordinance, our bank requires the express consent from the relevant individual clients for using their data for the purposes of the above regimes. Such relevant clients will be able to provide this express consent via our e-banking services or at any of our branches.

Consequences of failing to provide updated CID or consent

Failure to provide or update our bank with the CID meeting the aforesaid requirements (e.g. CID is not provided in accordance with the waterfall requirements in item 2 in the section above) or failure to give the express consent as described above may mean that our bank will not, or will no longer be able to, as the case may be, carry out the client's trading instructions or provide the client with securities related services (other than to sell, transfer out or withdraw the customer's existing holdings of securities, if any).

For enquiry, please contact our staff or call our Customer Service Hotline at (852) 2616 6628.

Should there be any discrepancy between the English and Chinese versions of this document, the Chinese version shall prevail.