

29 May 2022

**Important notice of implementation of the investor identification regime and over-the-counter securities transaction reporting regime in Hong Kong**

Thank you for using the securities services of Bank of China (Hong Kong) Limited (“the Bank”).

Please be informed that Securities and Futures Commission (“SFC”) will launch and implement the investor identification regime (“HKIDR”) and the over the-counter securities transaction reporting regime (“OTCR”) in the second half of 2022 and in the first half of 2023 respectively (collectively, “the reporting regime”) ^.

Under the reporting regime, the Bank and its related brokers (“the Brokers”) will assign a unique Broker-Client Assigned Number (“BCAN”) to each client so as to enable to provide to the Stock Exchange of Hong Kong (“SEHK”) together with their Client Identification Data (“CID”), including client’s Full Name, ID Issuing Country/Region or Jurisdiction, ID Type & ID Number shown in the identification document for processing their securities orders. The Bank and the Brokers will submit client’s BCAN with their securities order or share withdraw/deposit instruction to the SEHK and/or SFC for reporting.

For individual clients, sole proprietorship and partnership (collectively, “the relevant clients”), as the abovementioned procedures involve the collection, storage, processing, usage, disclosure and transfer of personal data relating to the relevant clients, the Bank should obtain relevant clients’ written consents in relation to this matter. If the relevant clients have not provided this consent, they will not be allowed to buy, transfers of shares or deposits of physical certificates into the accounts but will only be allowed to sell, transfer out or withdraw their existing holdings of securities, if any, until they do so.

According to the rules and requirements of SEHK and the SFC, clients should know and understand the list of priority of the identity documents and provide an identity document required under the list (if not already provided) or updated identity document information, as appropriate, for complying with the requirements of HKIDR and OTCR. CID of clients should be collected from the identity document which is first mentioned in the list below save that where the clients do not hold such document, the next mentioned document

should be used and so forth:

- (i) For an individual client's order of priority: (1) HKID card; (2) national identification document; (3) passport; (Note: Exit-entry Permit for Travelling to and from Hong Kong and Macao, Permit for Proceeding to Hong Kong and Macao and HKSAR Document of Identity for Visa Purposes are not accepted)
- (ii) For a corporate client's order of priority: (1) legal entity identifier "LEI" registration document; (2) certificate of incorporation; (3) business registration certificate; (4) other equivalent documents;
- (iii) For a client that is 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, which has opened a trading account with the relevant licensed or registered person should be obtained.

Clients should confirm that all information (including CID) given to the Bank and/or the Brokers for the purpose of their accounts and every transaction is valid, true, complete, accurate and up-to-date. Clients should promptly notify the Bank of any material change to their CID or other information, and/or higher priority change of their identity document.

From 29 May onwards, for qualified single-name or joint-name clients<sup>#</sup> who had registered for the Bank's Mobile Banking or Internet Banking Service, please log into Mobile Banking or Internet Banking to read the "Personal Information/Other Client Information Collection Statement concerning investor identification regime at trading level for the securities market in Hong Kong" ("Collection Statement") carefully and provide consent to the Bank as soon as possible. Alternatively, relevant clients can visit any branches of the Bank for arrangement. Relevant clients may send written notice to the Bank at any time thereafter if they wish to withdraw the consent.

For relevant clients, if the Bank does not receive the relevant clients' consent prior to the implementation date of the reporting regime, then the Bank can only accept sell orders or shares withdrawal instructions from such clients.

For enquiries, please contact us at 3988 2388.

**Bank of China (Hong Kong) Limited**

Remarks:

^ The exact launch dates are to be announced by the SFC. For details, please refer to SFC website.

# This Consent Form is applicable to all securities accounts under the name of the relevant clients (including but not limited to joint accounts). For joint accounts, all the relevant clients in a joint relationship have to provide their own consents in order to effect buy orders or trades, or transfers of shares or deposits of physical certificates into the accounts. For sole proprietorship and partnership, consent forms must be submitted separately from personal accounts.

- The consent shall take effect within 2 trading days after the relevant clients' consent has been properly received by the Bank.

- Should there be any inconsistency between the English and Chinese versions, the Chinese version shall prevail.