

23 December 2022

Dear Valued Customer,

Important notice of implementation of the investor identification regime in Hong Kong

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

Please be informed that the Securities and Futures Commission (“SFC”) will implement the investor identification regime at trading level for the securities market in Hong Kong (“HKIDR”) on 20 March 2023 (“Implementation Date”) which was announced on 12 March 2022.

Starting from the Implementation Date, 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 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 Stock Exchange of Hong Kong (“SEHK”) and/or the SFC for reporting.

For individual clients, sole proprietorships and partnerships (collectively, “Relevant Clients”):

- **Submit consent as soon as possible and ensure up-to-date personal data in the priority for CID**
Relevant Clients are recommended to submit consent to the Bank as soon as possible, and confirm that the CID given to the Bank and/or the Brokers is valid, true, complete, accurate, up-to-date, and meets the order of priority on the type of identity document as required by the SFC[^]. 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. If the Relevant Clients submit consent after the Implementation Date, the consent is expected to be taken effect within 2 trading days after the Relevant Clients’ consent has been properly received by the Bank.

- ***Ways to submit consent***

For qualified single-name or joint-name clients[#] who have registered for the Bank’s Mobile Banking or Internet Banking Services but have not submitted the consent, please provide the consent to the Bank as soon as possible via Mobile Banking (Login> Invest> Securities) or Internet Banking (Login> HK Securities> HKIDR). Alternatively, other Relevant Clients can visit any branches of the Bank for the relevant arrangement.



For corporate clients (Not applicable to sole proprietorships and partnerships) :

• **Ensure up-to-date personal data in the priority for CID**

Please be reminded to check and confirm the CID given to the Bank and/or the Brokers is valid, true, complete, accurate, up-to-date, and meets the order of priority on the type of identity document as required by the SFC[^]. **If there is any change to the CID and/or higher priority change of the identity document, please notify the Bank before 20 February 2023, otherwise the Bank and/or the Brokers will use the current record of the clients as the most up-to-date information in the priority for CID for reporting to the SEHK and/or the SFC.** Please note that the Bank will temporarily not assign BCAN for the corporate clients who do not enter into any securities trading transaction during the period of 1 November 2019 to the Implementation Date, in order to ensure that the CID is up-to-date and accurate. If the relevant corporate clients want to buy, transfers of shares or deposits of physical certificates into the accounts after the Implementation Date, please contact the Bank first for further arrangement. Moreover, for those corporate clients who are Relevant Regulated Intermediaries (e.g. brokers), the Bank will notify them with the relevant arrangement separately.

For any enquiries, please call the Bank's Personal Customer Service Hotline (852) 3988 2388 or Corporate Customer Service Hotline (852) 3988 2288.

Bank of China (Hong Kong) Limited

Remarks:

[^] The priority of the identity documents:

(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

[#] 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.

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