



Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime Client
Notice/Confirmation

香港投资者识别码制度及场外证券交易管理制度客户通知/确认函

Notice to Clients

客户通知

With reference to the recent regulatory requirements promulgated by the Securities and Futures Commission (“SFC”) regarding the implementation of the investor identification regime (“HKIDR”) at trading level for the securities market in Hong Kong and the introduction of an over-the-counter securities transactions reporting regime (“OTCR”) for shares listed on The Stock Exchange of Hong Kong Limited, Guosen Securities (HK) Brokerage Company, Limited and its affiliates (collectively defined as “Guosen Securities (HK)”) are required to obtain updated client identification data and express consent for the collection and handling of personal data (applicable to individual clients only) or corporate customer information (applicable to corporate clients only) from you in order to fulfill the regulatory requirements.

根据香港证券及期货事务监察委员会（下称「证监会」）近期颁布于香港证券市场的交易层面实施香港证券市场投资者识别码制度以及为香港联合交易所上市的股份引入场外证券交易汇报制度的监管要求，国信证券（香港）经纪有限公司及其附属公司（下统称「国信证券（香港）」）需要向客户收集最新的客户识别信息及就收集及处理客户的个人资料（仅适用于个人客户）或公司客户的资料（仅适用于公司客户）取得客户的明示同意从而符合相关监管要求。

In accordance with the regulatory requirements of the SFC, please provide your identity document acceptable for HKIDR as per the order of priority as follows (“Order of Priority”):—

1. For individual client: (a) HKID Card; (b) National ID; or (c) Passport;
2. For corporate client: (a) LEI document; (b) Certificate of Incorporation; (c) Business Registration Certificate; or (d) other equivalent documents;
3. For trustee: Client identification data of the trustee in accordance with 1 or 2 (as the case may be).

根据证监会的监管要求，请按照以下顺序提供香港投资者识别码制度可接纳的身份证明文件如下（下称「优先次序排列」）：—

1. 个人客户：(a) 香港身份证；(b) 国民身份证明文件；(c) 护照；
2. 公司客户：(a) 法律实体识别编码（LEI）文件；(b) 公司注册证书；(c) 商业登记证；(d) 其他公司注册文件；
3. 信托：根据 1 或 2（视情况而定）的受托人的客户识别信息。

TO: Guosen Securities (HK) Brokerage Company, Limited

致：国信证券（香港）经纪有限公司

Client Name (客户姓名) : _____

Account No./Identification No. (证券账号/证件号) : _____

Type of HKIDR Identity Document (识别码身份证明文件类型) : _____

Identity Document No. (识别码证件号) : _____

I/We confirm that the client identification data (“CID”) is provided to Guosen Securities (HK) in accordance with the Order of Priority on the type of identity document as specified in this notice/confirmation and required by the SFC. I/We confirm that I/we have read and understood the “Client Consent and The Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (“HKIDR”) and Over-the-counter Securities Transactions Reporting Regime (“OTCR”)” or “Client Consent and The Corporate Information Collection Statement concerning Hong Kong Investor Identification Regime (“HKIDR”) and Over-the-counter Securities Transactions Reporting Regime (“OTCR”)”(as the case may be) (collectively defined as “**Personal Data/Corporate Data Collection Statement**”). By ticking the box below, I/we signify my/our consent or dissent to Guosen Securities (HK) to use my/our personal data or corporate data upon the terms of, and for the purposes set out in, the Personal Data/Corporate Data Collection Statement. (Please tick one box only)

我/我们确认提供予国信证券（香港）的客户识别信息符合上述通告及证监会就身份证件类型的优先次序排列的要求。我/我们确认我/我们已经阅读并明白「有关香港投资者识别码制度及场外证券交易管理制度客户同意书及个人资料收集声明」或「有关香港投资者识别码制度及场外证券交易管理制度客户同意书及公司资料收集声明」（下称「**个人/公司资料收集声明**」）。通过以下勾选，我/我们表示我/我们同意或反对国信证券（香港）根据个人/公司资料收集声明项下的条款及目的使用我/我们的个人资料或公司资料。（请只勾选一项）

I/We agree that Guosen Securities (HK) may use or process my/our personal data or corporate data upon the terms of, and for the purposes set out in, the Personal Data/Corporate Data Collection Statement. I/We confirm that the CID is provided to Guosen Securities (HK) in accordance with the Order of Priority as to the type of identity document as required by the SFC.

我/我们同意国信证券（香港）根据个人/公司资料收集声明项下的条款及目的使用或处理我/我们的个人资料或公司资料。我/我们表示确认向国信证券（香港）提供的客户识别信息符合证监会就身份证件类型的优先次序排列的要求。

I/We disagree that Guosen Securities (HK) may use or process my/our personal data or corporate data upon the terms of, and for the purposes set out in, the Personal Data/Corporate Data Collection Statement.¹ I/We do not confirm that the CID is provided to Guosen Securities (HK) as per the Order of Priority on the identity document type as required by the SFC.²

我/我们拒绝国信证券（香港）根据个人/公司资料收集声明项下的条款及目的使用或处理我/我们的个人资料或公司资料。¹ 我/我们表示不确认向国信证券（香港）提供的客户识别信息符合证监会就身份证件类型的优先次序排列的要求。²

¹ If client disagrees, for HKIDR, Guosen Securities (HK) should only effect sell orders or trades in respect of existing holdings of a listed security (but not buy orders or trades) for that client; and for OTCR, should only effect transfers of shares out of and withdrawals of physical share certificates from that client's account, but not transfers of shares or deposits of physical share certificates into that client's account.

如客户不同意，在香港投资者识别码制度下，国信证券（香港）只应就该客户现时持有的上市证券执行卖出指令或交易（而非买入指令或交易）；及在场外证券交易汇报制度下，只应从该客户的帐户转出股份及提取实体股票证书，而不应将股份转入或将实体股票证书存入该客户的帐户。

² If client does not confirm, for HKIDR, Guosen Securities (HK) should only effect sell orders or trades in respect of existing holdings of a listed security (but not buy orders or trades) for that client; and for OTCR, should only effect transfers of shares out of and withdrawals of physical share certificates from that client's account, but not transfers of shares or deposits of physical share certificates into that client's account.

如客户不同意，在香港投资者识别码制度下，国信证券（香港）只应就该客户现时持有的上市证券执行卖出指令或交易（而非买入指令或交易）；及在场外证券交易汇报制度下，只应从该客户的帐户转出股份及提取实体股票证书，而不应将股份转入或将实体股票证书存入该客户的帐户。

(Applicable to individual client)

(适用于个人客户)

Client's Signature: 客户签署:	Name of Client: 客户名称:
Client's signature as per specimen(s) appended in account opening form 客户签署必须与客户的开户书一致	Date 日期:

(Applicable to corporate client)

(适用于公司客户)

Authorized Signature(s) with Company Chop: 获授权签署及公司印章:	Name of Company: 公司名称:
Signature as per specimen(s) appended in account opening form 签署必须与开户书一致	Date: 日期:
Name of Authorized Signatory: 获授权签署的名称:	

Client may return confirmation by the following means:

您可以通过以下方式提交此确认函:

By Email 电邮至: 4000895536@guosen.com.hk

By Post 邮寄至: Suites 3207-3212 on Level 32, One Pacific Place, 88 Queensway, Hong Kong
 香港金钟道88号太古广场1座32楼3207-3212室