

2022 年 6 月 29 日

尊敬的客戶：

**重要通知: 有關實施香港投資者識別碼制度及場外證券交易匯報制度的提交「同意聲明」方法**

香港證券及期貨事務監察委員會（「證監會」）預期會分別於 2022 年下半年及 2023 年上半年推出及實施香港投資者識別碼制度及場外證券交易匯報制度。

為符合相關制度要求，本公司曾於2022年3月向客戶發送標題為「有關: 因應香港投資者識別碼制度收集客戶識別信息通知」的通告，以確認客戶提交予本公司的個人資料為準確、最新及已依照證監會訂明的身份證明文件種類的排序提供。就於香港聯合交易所（「聯交所」）上市及買賣的證券而言: (i)在香港投資者識別碼制度下，本公司須為每位客戶編配「券商客戶編碼」，及將該編碼附加於客戶的每個證券交易指令，並在發出證券交易指令時一併向聯交所提交券商客戶編碼和相對應的個人信息（「客戶識別信息」）。此外，(ii) 在場外證券交易匯報制度下，本公司須為客戶就場外證券交易而進行的每個證券轉移，在訂明時限內向證監會匯報該客戶的客戶識別信息。

為遵守《個人資料（私隱）條例》，本公司需要就將 閣下的個人資料轉移至證監會及/或聯交所，預先取得 閣下的同意，以便本公司能就聯交所上市或買賣的證券（「香港證券」），向 閣下提供服務。

**如何提交「同意聲明」？**

- 1. 登入【[網上證券交易平台](#)】、【富易港股通專業版交易軟件】或【國泰君安國際交易寶】
- 2. 閱讀「香港投資者識別碼制度聲明書」，勾選知悉並按【確定】以同意及確認聲明書之內容。
- 或
- 填寫及簽署可按下面連結取得的【個人資料收集聲明】後，電郵至閣下的客戶經理或本公司客戶服務部電子郵箱: [customer.service@gtjas.com.hk](mailto:customer.service@gtjas.com.hk)。

**【個人資料收集聲明】**

[https://www.gtjai.com/upload/UploadFiles/DownloadForms/Chi/PICS\\_Individual\\_Joint.pdf](https://www.gtjai.com/upload/UploadFiles/DownloadForms/Chi/PICS_Individual_Joint.pdf)

請注意：如未能及時向本公司提交最新的個人識別信息及同意聲明，可能意味著當相關制度正式實施後，本公司不會或不能夠再（視情況而定）執行 閣下的香港證券交易指示或向 閣下提供香港證券相關服務，惟出售、轉出或提取客戶現有的香港證券持倉（如有）除外。

有關香港投資者識別碼制度收集客戶識別信息的詳情，請參閱以下連結。

<https://www.gtjai.com/upload/UploadFiles/2022/03/14/42416d581ebd4ffdb80e92ca3862a7ee.pdf>

如有任何查詢，歡迎聯絡 閣下的客戶經理或致電本公司客戶服務部（熱線：40080 95521 / (852) 2509-7524）。

國泰君安證券(香港)有限公司

29 Jun 2022

Dear Client,

**Important Notice: Regarding methods of submission of "Consent Statement" for the implementation of Hong Kong Investor Identification Regime and Over-The-Counter Securities Transaction Reporting Regime**

The Securities and Futures Commission of Hong Kong ("SFC") is expected to launch and implement the Hong Kong 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.

In order to comply with the requirements of the relevant regimes, we sent notice with headline "Re: Notification of collection of client identification data for Hong Kong Investor Identification Regime ("HKIDR")" to you in March 2022 to confirm your personal information maintained with us is accurate, most up-to-date and follow the order of priority for identity document type as specified by SFC. Regarding securities listed or traded on the Stock Exchange of Hong Kong ("SEHK"): (i) under the HKIDR, we are required to assign a "Broker-to-Client-Assigned Number" ("BCAN") to you and tag each of your securities trading orders with the assigned BCAN along with your client identification information ("CID") to SEHK. Further, (ii) we are required to report your CID to SFC for each of your securities transfers in connection with OTC securities transactions within a prescribed timeframe under the OTCR.

To comply with the Personal Data (Privacy) Ordinance, we have to obtain your consent for the transfer of your personal data to the SFC and/or SEHK in order to provide services to you in relation to securities listed or traded on SEHK ("Hong Kong Securities").

**How to submit the "Consent Statement"?**

- 1. Login to [【Online Trading Platform】](#)
- 2. Read the "Statement to the HKIDR", and then tick the box and click the **【Confirm】** button for acknowledgement and consent to the statement.

OR

- Please complete and sign the **【PERSONAL INFORMATION COLLECTION STATEMENT】** available in the link below and return to your Relationship Manager /Customer Service Department by email: [customer.service@gtjas.com.hk](mailto:customer.service@gtjas.com.hk).

**【PERSONAL INFORMATION COLLECTION STATEMENT】**

[https://www.gtjai.com/upload/UploadFiles/DownloadForms/Chi/PICS\\_Individual\\_Joint.pdf](https://www.gtjai.com/upload/UploadFiles/DownloadForms/Chi/PICS_Individual_Joint.pdf)

**Please note that failure to provide us with your latest personal information and consent in time may mean that upon the HKIDR and/or OTCR come into effect, we will not, or will no longer be able to, as the case may be, carry out your Hong Kong Securities trading instructions or provide you with Hong Kong Securities related services (other than to sell, transfer out or withdraw your existing holdings of Hong Kong Securities, if any).**

For details of collection of client identification data for HKIDR, please refer to below link.

<https://www.gtjai.com/upload/UploadFiles/2022/03/14/42416d581ebd4ffdb80e92ca3862a7ee.pdf>

Should you have any enquiries, please contact your Relationship Manager or Customer Service Hotline at 40080 95521/ (852) 2509-7524.

**Guotai Junan Securities (Hong Kong) Limited**