

有關內地投資者 參與「滬深股通交易」的規則修訂通知

尊敬的客戶：

中國證監會、上海證券交易所、深圳證券交易所於 2022 年 6 月 24 日發佈有關內地投資者¹參與「滬深股通交易」的規則修訂，並於 2022 年 7 月 25 日(生效日)起生效。

根據有關修訂，由生效日起，內地投資者開通「滬深股通交易」的新申請將不會被接受。而在生效日之前，已開通「滬深股通交易」的客戶將不受影響，並設有 1 年過渡期。過渡期結束後，內地投資者不得通過滬深股通主動買入中華通證券，但因公司行為等被動取得中華通證券的情形除外；內地投資者持有的中華通證券可繼續賣出。

現特此通知本公司將於 2023 年 7 月 1 日開始停止向內地投資者提供滬深股通買入中華通證券的服務，而客戶於 2023 年 7 月 1 日或之後所持有的中華通證券仍可繼續賣出。如閣下有任何國籍變更/註冊地更新，請儘快與閣下的客戶經理聯絡，以查詢更新流程。

有關詳情，請參閱香港交易所通告：

<https://www.hkex.com.hk/-/media/HKEX-Market/Services/Circulars-and-Notices/Participant-and-Members-Circulars/SEHK/2022/CT08822C.pdf>

如有查詢，歡迎隨時與閣下的客戶經理或本公司客戶服務部聯絡(電話：40080 95521/ (852) 2509-7524)。

國泰君安證券(香港)有限公司

2023 年 6 月 30 日

¹ 內地投資者包括：(a) 持有中國內地身份證明文件的個人，(b) 聯名帳戶持有人(如聯名帳戶持有人中有任何一方屬(a)條規定的中國內地投資者)，及(c) 中國內地註冊的法人及非法人實體。唯(i)持有前往港澳通行證(俗稱單程證)或取得境外永久居留身份證明文件的個人及(ii)內地註冊法人和非法人組織在香港或海外設立的分支機構或子公司不會被視為中國內地投資者。

**Notice of Amendments of Rule in relation to Mainland Investors
participating from “Northbound Trading” of Stock Connect**

Dear Client,

The China Securities Regulatory Commission (CSRC), Shanghai Stock Exchange (SSE) and Shenzhen Stock Exchange (SZSE) have announced the rule amendments on 24 June 2022 in relation to Mainland Investors participating from Northbound Trading under Stock Connect with effect from 25 July 2022 (the Effective Date).

According to the amendment, new application of Mainland Investors² to open “Northbound Trading” under Stock Connect will not be accepted from the Effective Date onwards. Existing clients with “Northbound Trading” enabled prior Effective Date will not be affected and will have a 1 year transitional period. After the transitional period, Mainland Investors shall not proactively buy any China Connect Securities through Northbound Trading under Stock Connect, but excluding obtaining China Connect Securities passively as a result of corporate actions. Existing China Connect Securities held by Mainland Investors could be sold.

This is to inform you that our company will cease to provide the service of purchasing China Connect Securities through Northbound Trading for Mainland Investors starting from 1 July 2023. Customers who hold the China Connect Securities on or after 1 July 2023 can still sell through Northbound Trading. If you have any change in nationality/ update on place of registration, contact your Relationship Manager as soon as possible to enquire about the update process.

For details, please refer to the HKEx Circular:

<https://www.hkex.com.hk/-/media/hkex-market/services/circulars-and-notices/participant-and-members-circulars/sehk/2022/ct08822e.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

30 June, 2023

2 Mainland Investors include: (a) individuals that possess Mainland ID documents; (b) holders of a joint account if one of the holders is considered as Mainland Investor under (a); and (c) corporate or unincorporated entities which are registered in the Mainland. Please note that (i) any individual who holds a Permit for Proceeding to Hong Kong and Macao, i.e. One-way Permit (前往 港澳通行證, i.e. 單程證) or who has obtained an identity document as proof of permanent residence in a country or region outside Mainland China, and (ii) Any branch or subsidiary of a corporate or unincorporated entity registered in Mainland China which branch or subsidiary is lawfully registered in Hong Kong or overseas, will not be considered as Mainland Investors.