

正式實施香港投資者識別碼制度 及場外證券交易匯報制度

尊敬的客戶:

香港證券及期貨事務監察委員會(「證監會」)於2023年3月20日正式推出香港投資者識別碼制度(又稱「港股實名制」),並為在香港聯合交易所有限公司(「聯交所」)上市的股份引入了場外證券交易匯報制度(“OTCR”),而OTCR也於2023年9月25日實施。在港股實名制和OTCR實施之後,閣下需要向本司提交同意聲明,同意本司轉移與閣下有關的個人資料至聯交所及/或證監會以作出申報,否則閣下將只能出售、轉出或提取閣下現有於聯交所上市或買賣的證券(「香港證券」)持倉,而不可買入、轉入香港證券或將香港證券實體股票證書存入閣下賬戶。

為免影響閣下買入或存入香港證券,如客戶仍未提交同意聲明,本司強烈建議閣下**立即**通過以下任何一個途徑提交「同意聲明」:

1. 通過網上交易平台提交

登入本司[網上交易平台](#)、【富易港股通專業版交易軟件】或【國泰君安國際交易寶】,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

2. 提交表格

填妥及簽署【[個人資料收集聲明](#)】表格,提交至我司客戶服務部郵箱 customer.service@gtjas.com.hk。

請注意:由於登記及提交相關資料需時,閣下在提交同意聲明後,可能需要最少等待1-2個工作天,才可重新買入或存入香港證券。

有關港股實名制詳情,請參閱聯交所的網站:

https://www.hkex.com.hk/Services/Trading/Securities/Overview/Trading-Mechanism/HKIDR?sc_lang=zh-HK

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

2023年9月25日

Launch of the Hong Kong Investor Identification Regime and Over-the-counter Securities Transaction Reporting Regime

Dear Client,

The Hong Kong Securities and Futures Commission ("SFC") officially launched the Hong Kong Investor Identification Regime ("HKIDR") on 20 March 2023 and introduced the Over-the-Counter Securities Transaction Reporting Regime ("OTCR") for shares listed on the Stock Exchange of Hong Kong Limited ("SEHK"), which also came into effect on 25 September 2023. Upon the launch of the HKIDR and OTCR, you are required to submit a consent statement to us to transfer personal information related to you to SEHK and / or SFC for reporting. Otherwise, you can only sell, transfer out or withdraw your existing holdings of securities listed or traded on SEHK ("HK Securities") and will not be able to buy, transfer in or deposit physical share certificates of HK Securities into your account.

In order not to affect your subsequent purchase or deposit of HK Securities, if you have yet to provide the consent statement, we strongly recommend you to submit your consent statement **immediately** through any of the following channels:

- 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 .

Please note that you may need to wait for at least 1-2 working days upon submitting consent statement due to the time required for registration and submission of relevant information, before you can buy or deposit HK Securities again.

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

https://www.hkex.com.hk/Services/Trading/Securities/Overview/Trading-Mechanism/HKIDR?sc_lang=en

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

25 September, 2023