

正式實施香港投資者識別碼制度 (2023年3月20日起生效)

尊敬的客戶:

香港證券及期貨事務監察委員會(「證監會」)公布將於2023年3月20日(「實施日」)正式推出香港投資者識別碼制度(又稱「港股實名制」)。在港股實名制實施之後,閣下需要向本司提交同意聲明,同意本司轉移與閣下有關係的個人資料至香港聯合交易所有限公司(「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。

為免影響閣下往後買入或存入香港證券,本司強烈建議閣下立即或不遲於2023年3月15日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:如閣下於2023年3月15日或之後才向本司提交同意聲明及最新的個人資料,由於登記及提交相關資料需時,閣下未必能及時在實施日當天買入或存入港股,提交同意聲明後,閣下可能需要最少等待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02月03日

Launch of the Hong Kong Investor Identification Regime (With effect from 20 March 2023)

Dear Client,

The Hong Kong Securities and Futures Commission ("SFC") announces that it will launch the Hong Kong Investor Identification Regime ("HKIDR") on 20 March 2023 ("Effective Date"). Upon the launch of the HKIDR, you are required to submit a consent statement to us to transfer personal information related to you to the Stock Exchange of Hong Kong Limited ("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, we strongly recommend you to submit your consent statement **immediately or by 15 March 2023** 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 if you submit your consent statement and latest personal information on or after 15 March 2023, you may not be able to buy or deposit HK Securities on the Effective Date due to the time required for registration and submission of relevant information. You may need to wait for at least 1-2 working days upon submitting consent statement 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

03 February, 2023