

September 2018

Dear Valued Client,

Thank you for your patronage with Standard Chartered Private Bank.

The Northbound Investor ID Model by the Stock Exchange of Hong Kong Limited (“SEHK”) on A shares northbound trading has come into effect since 26 September 2018. In order for you (singly held or joint account) to trade China Connect Securities, the Bank has to:

1. register a unique Broker-to-Client Assigned Number (“BCAN”) for each of your accounts (as applicable);
2. tag each of your China Connect orders submitted to the trading system with the BCAN; and
3. provide the client identification information (“CID”) of the account holder(s) to SEHK, its subsidiary and other related Mainland authorities / market operators.

For the purposes of “CID”, it may include, but not limited to, the name in English and Chinese (if applicable) of the account holder(s), the Identity Document(s) (“ID”) issuing country, ID type(s) and ID number(s) relating to the account holder(s).

Following the implementation of the Northbound Investor ID Model, if your BCAN is not set up for northbound trading, for any existing holding, you will only be allowed to hold and sell China Connect Securities.

As the BCAN registration takes time, please contact your Private Banker to start the registration at your earliest convenience should you wish to trade China Connect Securities.

As always, please do not hesitate to contact your Private Banker if you have any queries.

Yours faithfully,

Standard Chartered Bank (Hong Kong) Limited

If there is any discrepancy between the English and the Chinese language versions of this letter, the English version shall prevail.

**Standard Chartered Bank (Hong Kong) Limited**

Private Banking

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Standard Chartered Private Bank is the private banking division of Standard Chartered Bank (Hong Kong) Limited

尊貴的客户：

感謝閣下對渣打私人銀行的支持。

香港聯合交易所有限公司（「**聯交所**」）就A股北向交易推出的北向交易投資者識別碼模式已於2018年9月26日起生效。為了讓閣下（個人或聯名賬戶）買賣中華通證券，本行必須：

1. 為閣下的每一個賬戶（如適用）登記一個獨立的券商客戶編碼；
2. 就閣下提交至交易系統的每項中華通買賣指示附加券商客戶編碼；及
3. 向聯交所、其附屬公司及其他相關中國內地當局/市場營運商提供賬戶持有人的客戶識別信息。

「**客戶識別信息**」可能包括（但不限於）賬戶持有人的中英文名稱（如適用）、與賬戶持有人有關的身份證明文件的簽發國家、身份證明文件的類別及身份證明文件的號碼。

實施北向交易投資者識別碼模式後，如閣下未就北向交易設置券商客戶編碼，則就任何現有持倉而言，閣下將只准持有及出售中華通證券。

由於登記券商客戶編碼需時，如閣下有意買賣中華通證券，請及早聯絡閣下的私人銀行家以展開登記程序。

如有任何疑問，請隨時與閣下的私人銀行家聯絡。

渣打銀行(香港)有限公司 謹啟

二零一八年九月