

Hong Kong Investor Identification Regime is About to Debut!

Dear Valued Customers:

The Securities and Futures Commission (“SFC”) is going to implement the Hong Kong Investor Identification Regime (“HKIDR”) in the 4th quarter of 2022. Please refer to this [link](#) for details. In order to deliver excellent securities trading services for you after the implementation of HKIDR, we would like you to:

1. Sign the "Information Collection Statement concerning HKIDR and OTCR"

For those accounts were opened on or before 13 February 2022, all holders are required to sign the Information Collection Statement and agree to disclose and transfer your personal data to the Hong Kong Stock Exchange (“HKEX”) and/or the SFC, as follows:

- i. If you are an individual account holder, please access [web version trading platform](#) to send a consent message or reply to the email sent by us;
- ii. If you are a joint account holder, please [download](#) and sign the statement and return it to the "Document Control Department, Level 4, Three Pacific Place, 1 Queen's Road East, Hong Kong".

Please note that if the individual or joint clients who opened an account on or before 13 February 2022 do not sign the Information Collection Statement, after the implementation of HKIDR, clients will no longer be able to buy any securities that listed or traded on the HKEX. Securities can only be sold, transferred out or withdrawn from existing holdings.

2. Provide the latest version of the identity document

- i. If there is an updated version of the identity document you have previously provided to us, please complete and sign the "[Change of Client Data Form](#)" and attach a copy of the latest identity document to us;
- ii. If you do not have a Hong Kong Identity Card (“HKID”), you can provide your local national identity card. Please note that the SFC stipulates that the HKID is the preferred identification document. If you hold a HKID, please be sure to provide;
- iii. Joint account clients are required to provide the latest identification documents of all account holders.

Should you have any queries, please contact your Sales or Account Executive or our Customer Service Hotline at (852) 2250 8298 (Hong Kong) / 400-120-0363 (China Toll Free) or via email customer.service@swwhyk.com.

Shenwan Hongyuan Securities (H.K.) Limited

Before making any investment decision, investors should carefully consider their own circumstances, risk tolerance level, investment experience and investment objectives. If they are in doubt, they should seek independent professional advice.



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