

Unlocking Investor ID!

Dear Valued Customers:

In order to correspond to the Hong Kong Investor Identification Regime (“HKIDR”) that the Securities and Futures Commission (“SFC”) will tentatively implement in the 4th quarter of 2022, we have sent out a notice as early as June, asking you to sign the Information Collection Statement and update your personal information. The SFC produced the following video to help clients understand more about the HKIDR.



Please note that we will need your signed Information Collection Statement before submitting your identity document information to Hong Kong Stock Exchange (“HKEX”) and the SFC. If you do not send a consent message via [web version trading platform](#) or reply the email sent by us, **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 Securities can only be sold, transferred out or withdrawn from existing holdings.**

In addition, your identity document information will be kept confidential. All of your identity document information will be encrypted and kept in the secured data repositories of HKEX and the SFC. Moreover, it will only be accessible by authorised HKEX and the SFC personnel on need-to-know basis.

For more details, please refer to this [link](#). 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@swwhyhk.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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