

21 February 2022

## Important notice of implementation of the investor identification regime and over-the-counter securities transaction reporting regime in Hong Kong

Please be informed that the Securities and Futures Commission (“SFC”) will launch and implement the investor identification regime (“HKIDR”) in the second half of 2022 and the over-the-counter securities transaction reporting regime (“OTCR”) in the first half of 2023 in Hong Kong<sup>^</sup> respectively (the “new regime”).

Under the new regime, customers are required to provide their written consent to assign a unique Broker-Client Assigned Number (“BCAN”) so as to enable Fubon Bank (Hong Kong) Limited (“the Bank”) and its wholly owned subsidiary FB Securities Limited (“FBS”) to provide to the Stock Exchange of Hong Kong (“SEHK”) together with their Client Identification Data (“CID”), including Customer’s Name, ID Issuing Country, ID Type & ID Number for processing their securities orders. The Bank and FBS will submit customer’s BCAN with their securities order or share withdraw/deposit instruction to the SEHK and/or SFC for reporting. Customers who have not provided this consent will still be able to sell/withdraw their securities but will not be able to purchase/deposit securities until they do so. Meanwhile, if customers are interested in investing Northbound China Connect A-shares, they should also provide their consent to submit their personal information according to Personal Information Collection Statement – Northbound China Connect Trading Services to the Bank.

For single-name individual customer who had registered for the Bank’s e-banking Service, please log into e-banking to complete and submit the “Hong Kong/Northbound China Connect Investor Identification Regime - Personal Information Collection Statements” (“Consent Form”) to the Bank. Alternatively, customers may download the Consent Form via the Bank’s website [www.fubonbank.com.hk](http://www.fubonbank.com.hk) and return the completed form to any branches of the Bank.

If the Bank do not receive customers’ completed Consent Form five(5) working days prior to the implementation date of the new regime, then the Bank can only accept sell orders or shares withdrawal instructions. Customers may send written notice to the Bank at any time thereafter if they wish to withdraw the consent. For enquiries, please call Securities Services Hotline at 2842 7575 during office hours\*.

Fubon Bank (Hong Kong) Limited

Remarks:

<sup>^</sup> The exact launch date is to be announced by the SFC. For details, please refer to SFC website: <https://www.sfc.hk/en/Rules-and-standards/Investor-Identification-and-OTC-securities-reporting>

\* Office hours: 8:30 am to 5:30 pm from Monday to Friday (except Saturday, Sunday and Public Holidays).

Should there be any inconsistency between the English and Chinese versions, the English version shall prevail.