



**華泰金融控股(香港)有限公司**

HUATAI FINANCIAL HOLDINGS (HONG KONG) LIMITED

**主题: 将于 2018 年 9 月 17 日(“生效日”)推行的北向交易投资者实名制机制**

尊敬的客户，您好!

感谢您对我司的支持。根据沪深港股票市场交易互联互通(“中华通”)的规则和条例，我司需要向香港联合交易所(“联交所”)提交投资者的一些个人数据(包括姓名、身份证签发国家、身份证类型、身份证号等)，并由联交所将有关数据进一步传递给内地交易所或有关部门。为此，我司需要得到您的明确同意，否则，我司将无法向您提供或继续提供北向交易服务。如您希望在有关机制的生效日及以后继续进行北向交易，请您签署随函附上“北向交易投资者实名制机制”同意书，并将已签署的同意书电邮至 [hkinfo@htsc.com](mailto:hkinfo@htsc.com) 及邮寄至我司地址：香港皇后大道中 99 号中环中心 58 楼 5801-05 及 08-12 室。

若有任何疑问，欢迎致电我们的服务热线 400 8818 456(内地) / (852)3658 6288(香港)。谢谢!

华泰金融控股(香港)有限公司

谨启

**Subject: The Investor ID Model regime for Northbound Trading will be commenced on 17th September 2018 (the “Effective Date”)**

Dear Valued Customer:

Thank you for your support. Under the rules and regulations of the China Stock Connect (“China Connect Rules”), we are required to submit certain personal data of the investor as prescribed under the China Connect Rules (including name, ID issuing country, ID Type and ID number) to the Stock Exchange of Hong Kong Limited (“SEHK”) who will further route or transfer such data to the Mainland exchanges or authorities. We need your specific consent to do so. Without your consent, we cannot provide or continue to provide northbound trading services to you. If you wish to continue participating in the Northbound Trading after the Effective Date of relevant regime, please sign the enclosed “Consent Letter for The Investor ID Model regime for Northbound Trading”. Then email the same to [hkinfo@htsc.com](mailto:hkinfo@htsc.com) and send by post to our office address: Unit 5801-05 & 08-12, 58/F The Center, 99 Queen’s Road Central, Hong Kong.

For any enquiries, please call our service hotline 400-8818-456 (Mainland) / (852)3658-6288 (HongKong)

Yours faithfully,

Huatai Financial Holdings (Hong Kong) Limited

地址：香港皇后大道中 99 号中环中心 58 楼 电话：(852)36586000 传真：(852)21690770



# 華泰金融控股(香港)有限公司

HUATAI FINANCIAL HOLDINGS (HONG KONG) LIMITED

## 北向交易投资者实名制机制 The Investor ID Model regime for Northbound Trading

根据沪深港股票市场交易互联互通(“中华通”)的规则和条例,我/我们明白华泰金融控股(香港)有限公司需要向香港联合交易所(“联交所”)提交投资者的一些个人数据(包括姓名、身份证签发国家、身份证类型、身份证号等),并由联交所将有关数据进一步传递给内地交易所或有关部门。

Under the rules and regulations of the China Stock Connect (“China Connect Rules”), I/We understand that Huatai Financial Holdings (Hong Kong) Limited is required to submit certain personal data of the investor as prescribed under the China Connect Rules (including name, ID issuing country, ID Type and ID number) to the Stock Exchange of Hong Kong Limited (“SEHK”) who will further route or transfer such data to the Mainland exchanges or authorities.

为此,我/我們同意华泰金融控股(香港)有限公司為符合北向交易投资者实名制机制的要求而使用和传递上述提及的我/我們的个人数据。

For this purpose, I/We consent to the use or transfer of my / our personal data as mentioned above by Huatai Financial Holdings (Hong Kong) Limited for the purpose of complying with the Investor ID Model regime for Northbound Trading.

Signature of Customer 客户签署 :

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(如属联名户口,所有户口持有人均须签署;如属公司户口,请加盖公司印鉴于授权签名)

(For joint account, should sign by all account holders; for company account, please affix the company chop to the authorized signature)

Name of Client 客户姓名 :

\_\_\_\_\_

A/C no. 帐户号码 :

\_\_\_\_\_

Date 日期 :

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只供本公司填寫 For Official Use Only

Verified by

S.V.

Received Date: