

尊敬的客戶：

**有關：請確認香港投資者識別碼制度下的客戶識別信息**

根據證券及期貨事務監察委員會（「證監會」）於 2021 年 8 月刊發建議實施投資者識別碼制度的諮詢總結文件及早前本公司發出的通知，要求 貴司按香港投資者識別碼制度更新客戶識別信息。

香港投資者識別碼制度下，相關持牌法團及註冊機構（統稱「相關受規管中介人」<sup>1</sup>）必須確保為其已經或擬就在香港聯合交易所（「聯交所」）的交易系統上市或買賣的證券發出自動對盤交易指令或須根據聯交所規則向其匯報的非自動對盤交易指令的相關客戶編配唯一的識別碼，即券商客戶編碼及各個的客戶類別。每單自動對盤交易指令或向聯交所匯報的非自動對盤交易指令均須包含相應的券商客戶編碼及客戶類別。

立鼎證券有限公司

-----客戶回條-----

致 立鼎證券有限公司

根據香港投資者識別碼制度的要求，請立鼎證券有限公司根據以下信息代為作為申報資料：

1. 我司是否相關受規管中介人： 是 /  否
2. 根據香港投資者識別碼制度的檔案接口規格（只供英文版）的客戶類別<sup>2</sup>定義，我司的編配應為：

<input type="checkbox"/> 基金	<input type="checkbox"/> 法人實體 - 基金經理
<input type="checkbox"/> 自營業務（只限受規管的持牌機構）	<input type="checkbox"/> 法人實體 - 其他

\*\* 請在選擇方格內

公司客戶簽署及公司蓋章：\_\_\_\_\_

公司名稱：\_\_\_\_\_

日期：\_\_\_\_\_

備注-----

- <sup>1</sup> 相關受規管中介人指在與(i)進行自營交易，或(ii)就透過為另一人開立和維持的帳戶發出的交易指令向該人提供證券經紀服務有關連的情況下，進行以下事項的持牌法團或註冊機構：提交（或安排提交）自動對盤交易指令以供執行/執行非自動對盤交易指令/或以交易所參與者身分根據聯交所規則就非自動對盤交易直接向聯交所作出匯報。
- <sup>2</sup> 客戶類別：1=個人 / 2=聯名帳戶 / 3=基金 / 4=法人實體 - 基金經理 / 5=自營業務 / 6=法人實體 - 其他

Applicable to corporate/institutional account opening

Dear Client,

**Re: Request for confirmation of client identification information for Hong Kong Investor Identification Regime (“HKIDR”)**

We refer to the consultation conclusions on proposals to implement an investor identification regime issued by the Securities and Futures Commission (“SFC”) in August 2021 and the notice earlier requesting you to update your client identification data under HKIDR.

Under the HKIDR, relevant licensed corporations and registered institutions (collectively “Relevant Regulated Intermediaries” or “RRIs”<sup>1</sup>) would have to ensure a unique identification code, namely a Broker-to-Client Assigned Number (“BCAN”) and respective client type have been assigned to each “Relevant Client” who has placed or proposes to place an on-exchange order or an off-exchange trade reportable to the Stock Exchange of Hong Kong (“SEHK”) per its rules, in securities listed or traded on the trading system of SEHK. The corresponding BCAN and client type are also required to be included in the order information for each on-exchange order and reporting of off-exchange trades to SEHK.

LEADING Securities Company Limited

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Reply Slip  
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To LEADING Securities Company Limited

According to the requirements of the HKIDR, please provide the below declaration information to HKEX on behalf of our company.

1. Our Company are a Relevant Regulated Intermediaries (“RRI”):  Yes /  No
2. According to the definition of client type<sup>2</sup> in File Interface Specification of HKIDR, we are assigned as  
 Funds  Legal Entity – Fund Manager  
 Proprietary Trading (For Relevant Regulated Intermediaries only)  Legal Entity – Others

\*\* Please tick  the appropriate box(es)

Company Client’s Signature and Business Chop: \_\_\_\_\_

Company Name: \_\_\_\_\_

Date:

Remarks-----

1 A Relevant Regulated Intermediaries (“RRI”) is a licensed corporation or registered institution which:  
submits (or arranges to submit) for execution an on-exchange order/ carries out an off-exchange order/ reports an off-exchange trade directly as an exchange participant to SEHK according to its rules, in connection with:

- carrying out proprietary trading; or
- providing securities brokerage services for another person in respect of orders placed through an account opened and maintained for that person

2 Client type: - 1 = Individual / 2 = Joint Account / 3 = Funds / 4 = Legal Entity – Fund managers / 5 = Proprietary Trading / 6 = Legal entity - Others