

Dear Customer,

We write to inform your company of Securities and Futures Commission's (SFC) proposals to implement the Hong Kong Investor Identification Regime (HKIDR) in second half of 2022 and Over-the-counter Securities Transactions Reporting Regime (OTCR) in first half of 2023.

Under the HKIDR and OTCR, the Bank would have to ensure that a unique Broker-to-Client Assigned Number (BCAN) be assigned to your company for tagging: (i) the orders placed to the Stock Exchange of Hong Kong (SEHK), and/or (ii) the transfer/deposit/withdrawal of certain shares required to be reported to SFC subject to your company's undertaking to provide the Bank an identity document according to the waterfall: (1) legal entity identifier (LEI) registration document; or (2) certificate of incorporation; or (3) certificate of business registration; or (4) other equivalent identity document; and to notify the Bank of any updates to the Client Identification Data (CID) which shall mean your full name as shown on the identity document, the issuing country or jurisdiction of the identity document, the identity document type and the identity document number.

Please note that failure or refusal to provide CID in accordance with the waterfall may mean that the Bank will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide your company with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any) upon implementation of the HKIDR and OTCR.

Kindly contact your company's account officer at the Bank for update of your company's CID, if necessary (i.e. if your company holds an identity document that is of a higher priority in the waterfall, or for replacement of an expired identity document etc.). If we do not receive any updates from your company **on or before 30 June 2022**, your company's current CID on our records will be deemed to be in accordance with the waterfall requirement and up-to-date.

Should your company have any queries, please feel free to call our Securities Service Hotline at (852) 2581-1468.

PUBLIC BANK (HONG KONG) LIMITED

(This is a computer-generated letter and no signature is required)

In case of any discrepancy or inconsistency between the English and Chinese versions hereof, the English version apply and prevail.

親愛的客戶：

證券戶口號碼 (請參閱英文版本)

謹致函通知 貴公司證券及期貨事務監察委員會 (證監會) 建議將於 2022 年下半年實施香港投資者身份識別碼制度和 2023 年上半年實施場外證券交易匯報制度。

根據相關制度，本行必須確保為客戶編配一個唯一的券商客戶編碼，用於標記 (i) 下達給香港聯合交易所(聯交所) 的交易指示(ii) 轉讓/存入/提取某些需要向證監會報告的股份，前提是 貴公司的承諾根據優先次序向本行提供身份證明文件：(1)法律實體識別編碼(LEI)登記文件；(2) 公司註冊證明書；(3) 商業登記證；(4) 其他同等身份證明文件，並通知本行有關客戶識別信息的任何更新，即您在身份證件上顯示的全名、身份證件的簽發國家或司法管轄區、身份證件類型和身份證件號碼。

請注意，未能或拒絕根據優先次序提供客戶識別信息可能令本行將不會或不再能夠（視情況而定）執行 貴公司的交易指令，或在實施相關制度後繼續為 貴公司提供證券相關服務（除了出售、轉出或提取您現有的證券持倉（如有））。

如有需要，請聯絡 貴公司在本行的客戶服務主任更新 貴公司的客戶識別信息（如果貴公司持有具有更高優先次序的身份證明文件，或更換過期的身份證明文件等）。如果本行在 2022 年 6 月 30 日或之前沒有收到 貴公司的任何更新，貴公司現時於本行記錄的客戶識別信息，將被視為符合優先次序且是最新的。

如有任何查詢，請致電證券服務熱線 (852) 2581-1468。

大眾銀行 (香港) 有限公司

2022 年 4 月

(本函為毋須簽署之電腦編印信件)

若本通知的中、英文版有歧異或不一致之處，概以英文版為準。