

香港聯合交易所有限公司  
(香港交易及結算所有限公司全資附屬公司)

THE STOCK EXCHANGE OF HONG KONG LIMITED  
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

## 通告 CIRCULAR

Subject: **NORTHBOUND INVESTOR ID MODEL – SUBMISSION OF BCAN-CID MAPPING DATA**

Enquiry: **Participant General Enquiry Hotline<sup>1</sup> (Tel : 2840 3626 E-mail : [trd@hkex.com.hk](mailto:trd@hkex.com.hk))**

Reference is made to the Exchange Circular (Ref: [CT/102/18](#)) dated 24 August 2018. China Connect Exchange Participants (“CCEPs”) and Trade-through Exchange Participants (“TTEPs”) are reminded that to prepare for the Northbound (NB) Investor ID model launch on 17 September 2018, they are already allowed to submit the mapping data of Broker-to-Client Assigned Number (“BCAN”) and Client Identification Data (“CID”) for their clients. CCEPs and TTEPs are **strongly advised to submit the mapping data as soon as possible**, so as to allow sufficient time to rectify any error encountered during the registration process with the Mainland authorities.

Further, CCEPs and TTEPs are reminded that the name in the BCAN-CID mapping data submitted to the Exchange **must be in the text as appeared in the relevant official identity document**. For example, if the official identity document is in Simplified Chinese, the name in the BCAN-CID mapping data should also be in Simplified Chinese (please refer to [BCAN-CID Mapping File Data Record Examples](#)). Non-compliance with the requirement may result in failed registration with the Mainland authorities.

Please also be reminded that CCEPs and TTEPs shall only submit production data to the secure file transfer protocol (“SFTP”) server. **Submission of testing data to SFTP is strictly prohibited.**

**Sally Kwok**  
**Senior Vice President**  
**Cash Trading**  
**Markets Division**

<sup>1</sup> All calls to and from the Participant General Enquiry Hotline may be recorded. HKEX Privacy Policy Statement is available [here](#).