

Investor ID Model for Northbound Trading under Stock Connect

Example of Authorised TTEP Firm List (Trade-through Exchange Participants)

(Version 1.0)

(Version Date : 15 February 2018)

Explanatory Notes:

1. As stated in the Information Paper titled “Investor ID Model for Northbound Trading under Stock Connect” dated November 2017 issued by HKEX (“Information Paper”), each China Connect Exchange Participant (“CCEP”) is required to assign a unique number to each of their Northbound trading clients (“Broker-to-Client Assigned Number” or “BCAN”) and to provide the investor identification information (“Client Identification Data” or “CID”) of such clients mapped to the clients’ BCANs to SEHK in one file, i.e. the BCAN-CID Mapping File (“Mapping File”). Under the Northbound Investor ID model, each of the (i) CCEPs and (ii) Exchange Participants trading through a CCEP pursuant to Rule 590 of the Rules of the Exchange (“TTEPs”), who conducts Northbound trading under Shanghai Connect and Shenzhen Connect, is required to submit to SEHK the Mapping File before such time as will be announced by SEHK in due course.
2. A CCEP shall, where applicable, submit to SEHK a list of TTEPs who conduct or intend to conduct Northbound trading under Shanghai Connect and Shenzhen Connect through the CCEP so that such TTEPs can submit to SEHK the Mapping File accordingly. Any Mapping File (with data record field no.4 filled with a CCEP Firm ID) from a TTEP which is not on the “Authorised TTEP Firm List” submitted by the relevant CCEP will be rejected.
3. The example set out in this document is for reference only and is not intended to be, nor should it be regarded as, legal or other professional advice for CCEPs and TTEPs. HKEX and its subsidiaries shall not be responsible or liable for any loss or damage, directly or indirectly, arising from the use of or reliance upon any information provided in this document.

Example:

In this example, AIR SECURITIES CORPORATION LIMITED (Firm ID 1244), the CCEP through which MOON SECURITIES CORPORATION LIMITED (Firm ID 1211), A SECURITIES CORPORATION LIMITED (Firm ID 1222) and Y SECURITIES CORPORATION LIMITED (Firm ID 1233) conduct or intend to conduct trading in China Connect Securities pursuant to Rule 590 (each, a TTEP), shall submit a list of such TTEPs to SEHK before such time as will be announced by SEHK in due course. Accordingly, AIR SECURITIES CORPORATION LIMITED (Firm ID 1244) shall submit a list which includes the following:

Record Type	Record Sequence Number	Authorised TTEP Firm ID
D	1	1211
D	2	1222
D	3	1233