

# **Investor ID Model for Northbound Trading under Stock Connect**

## **BCAN – CID Mapping File**

### **Data Record Examples**

(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 (“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. The examples set out in this document should be read in conjunction with the Information Paper, the China Stock Connect Northbound Trading Investor ID Model System File Interface Specification (“Interface Specification”) and the amendments to the Rules of the Exchange, which will be published in due course. In case of any discrepancy or inconsistency between this document and the Interface Specification, the Interface Specification shall prevail.
3. CCEPs and TTEPs shall ensure that all information in the submitted Mapping File is correct. Unless otherwise specified in the Interface Specification, the information and the language as appeared in the relevant official identity documents of the clients should be used in the Mapping File.
4. The examples set out in this document are for reference only and are not intended to be, nor should they 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 1: CCEP's direct client - CCEP: AIR SECURITIES CORPORATION LIMITED (Firm ID 1244)**

**1a: Individual client - CHEN DA WEN**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type <sup>1</sup>	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity <sup>2</sup> (English)	Name (Chinese)	Name of Legal Entity <sup>2</sup> (Chinese)	Country of Issuance <sup>3</sup>	ID Type <sup>4</sup>	ID Number
D	1	1	1244	1117894444	1	DA WEN	CHEN		陈大文		SGP	1	S1234567A

**1b: Joint account - CHEN DA WEN and SOMCHAI MEESUK**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	2	2	1244	2020202200	2	DA WEN	CHEN		陈大文		SGP	1	S1234567A
D	3	2	1244	2020202200	2	SOMCHAI	MEESUK		สมชาย มีสุข		THA	2	AA1234567

**1c: Institutional client (Fund) - ABC FUND [regardless of whether it is affiliated to the CCEP]**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	4	3	1244	1234567890	1			ABC FUND			DEU	4	11111111ABCDEF222222

<sup>1</sup> Client Type: 1 = Individual; 2 = Joint Account; 3 = Legal Entity – Funds; 4 = Legal Entity – Fund managers and others; 5 = Proprietary or Principal Trading.

<sup>2</sup> Name of Legal Entity: the name as appeared in the certificate of incorporation, other official incorporation documents or the Legal Entity Identifier (“LEI”). Where the institutional client is a fund, without reference to the legal structure of the fund and whether or not a fund is a separate legal entity, the name of the fund should be submitted.

<sup>3</sup> Country of issuance: the issuing country or jurisdiction of the identity document of the individual or the certificate of incorporation or other official incorporation documents of the entity.

<sup>4</sup> Identity document type: 1 = Identity Card (e.g. HKID, ID issued by the relevant government authority); 2 = Passport; 3 = Certificate of Incorporation or other official incorporation documents of the entity; 4 = LEI; 5 = Other official identity document of the individual

**1d: Institutional client (Asset Management Company) - CLOUD FUND MANAGEMENT LIMITED [regardless of whether it is affiliated to the CCEP]**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	5	4	1244	1123367899	1			CLOUD FUND MANAGEMENT LIMITED		白雲基金管理 有限公司	HKG	3	1010101

**1e: Institutional client (Corporation) - DEF CORPORATION LIMITED**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	6	4	1244	1001234567	1			DEF CORPORATION LIMITED		DEF 有限 公司	HKG	4	22222222ABCDEF333333

**1f: Non-affiliate intermediary - IN SECURITIES CORPORATION LIMITED**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	7	4	1244	1010987654	1			IN SECURITIES CORPORATION LIMITED			HKG	3	1111111

**Example 2: Client routed through intermediaries to CCEP - CCEP: AIR SECURITIES CORPORATION LIMITED (Firm ID 1244)**

**2a: Oversea affiliate's individual client - JAMES LON SMITH (CCEP London affiliate's client)**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	8	1	1244	3356789012	1	JAMES LON	SMITH				GBR	2	123456789

**2b: Oversea affiliate's institutional client - XYZ SECURITIES CORPORATION LIMITED (CCEP London affiliate's client)**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	9	4	1244	4466778901	1			XYZ SECURITIES CORPORATION LIMITED			GBR	3	99999999

**Example 3: CCEP's proprietary or principal trading - CCEP: AIR SECURITIES CORPORATION LIMITED (Firm ID 1244)**

**3a: CCEP's proprietary or principal trading – CCEP: AIR SECURITIES CORPORATION LIMITED (Firm ID 1244)**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	10	5	1244	1000000000	1			AIR SECURITIES CORPORATION LIMITED		空氣證券有限公司	HKG	3	8888888

**3b: CCEP affiliate's proprietary or principal trading - FLAME SECURITIES CORPORATION LIMITED is an affiliate of the CCEP**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	11	5	1244	1000001111	1			FLAME SECURITIES CORPORATION LIMITED		焰火證券有限公司	HKG	3	2222222

**Example 4: TTEP’s direct client – TTEP: MOON SECURITIES CORPORATION LIMITED (Firm ID 1211\*) places orders through the executing CCEP: AIR SECURITIES CORPORATION LIMITED (Firm ID 1244)**

*\*Firm ID of the TTEP shall be entered in field no.4 (Firm ID) of the header record of the Mapping File.*

**4a: Individual client - CHEN DA WEN**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	1	1	1244	9997654321	1	DA WEN	CHEN		陈大文		SGP	1	S1234567A

**4b: Joint account - CHEN DA WEN and SOMCHAI MEESUK**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	2	2	1244	9123456780	2	DA WEN	CHEN		陈大文		SGP	1	S1234567A
D	3	2	1244	9123456780	2	SOMCHAI	MEESUK		สมชาย มีสุข		THA	2	AA1234567

**4c: Institutional client (Fund) - ABC FUND [regardless of whether it is affiliated to the CCEP]**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	4	3	1244	9876543210	1			ABC FUND			DEU	4	11111111ABCDEF222222

**4d: Institutional client (Asset Management Company) - CLOUD FUND MANAGEMENT LIMITED [regardless of whether it is affiliated to the TTEP]**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	5	4	1244	9987655433	1			CLOUD FUND MANAGEMENT LIMITED		白雲基金管理 有限公司	HKG	3	1010101

**4e: Institutional client (Corporation) - DEF CORPORATION LIMITED**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	6	4	1244	9998712345	1			DEF CORPORATION LIMITED		DEF 有限 公司	HKG	4	22222222ABCDEF333333

**4f: Non-affiliate intermediary - IN SECURITIES CORPORATION LIMITED**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	7	4	1244	9999654321	1			IN SECURITIES CORPORATION LIMITED			HKG	3	1111111

**Example 5: Client routed through intermediaries to TTEP – TTEP: MOON SECURITIES CORPORATION LIMITED (Firm ID 1211) places orders through executing CCEP: AIR SECURITIES CORPORATION LIMITED (Firm ID 1244)**

**5a: Oversea affiliate's individual client - JAMES LON SMITH (TTEP London affiliate's client)**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	8	1	1244	9991234567	1	JAMES LON	SMITH				GBR	2	123456789

**5b: Oversea affiliate's institutional client - XYZ SECURITIES CORPORATION LIMITED (TTEP London affiliate's client)**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	9	4	1244	9999954321	1			XYZ SECURITIES CORPORATION LIMITED			GBR	3	99999999



**Example 6: TTEP’s proprietary or principal trading –TTEP: MOON SECURITIES CORPORATION LIMITED (Firm ID 1211) places orders through executing CCEP: AIR SECURITIES CORPORATION LIMITED (Firm ID 1244)**

**6a: TTEP’s proprietary or principal trading - MOON SECURITIES CORPORATION LIMITED**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	10	5	1244	9999999999	1			MOON SECURITIES CORPORATION LIMITED		月亮證券有限公司	OTH	4	44444444ABCDEF555555

**6b: TTEP affiliate’s proprietary or principal trading - WORLD SECURITIES CORPORATION LIMITED is an affiliate of the TTEP**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	11	5	1244	9999999888	1			WORLD SECURITIES CORPORATION LIMITED		世界證券有限公司	SGP	4	55555555ABCDEF666666

**Example 7: TTEP trading through multiple executing CCEPs – TTEP: MOON SECURITIES CORPORATION LIMITED (Firm ID 1211) places orders through multiple executing CCEPs#: AIR SECURITIES CORPORATION LIMITED (Firm ID 1244) and RAIN SECURITIES CORPORATION LIMITED (Firm ID 1288)**

**# A TTEP, who trades through multiple CCEPs, should submit the data records in a single Mapping File.**

**7a: Individual client - CHAN KA KEI**

The following data should be submitted:

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Record Type	Record Sequence Number	Client Type	CCEP Firm ID	BCAN	Number of Account Holders	First Name and Middle Name (English)	Last Name (English)	Name of Legal Entity (English)	Name (Chinese)	Name of Legal Entity (Chinese)	Country of Issuance	ID Type	ID Number
D	12	1	1244	2222222222	1	KA KEI	CHAN		陳家琪		HKG	1	E123555(7)
D	13	1	1288	5555555555	1	KA KEI	CHAN		陳家琪		HKG	1	E123555(7)