

# Northbound Investor ID Model

## Guidance Notes on BCAN-CID Mapping File

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## 1. Selection of ID Type for Funds (i.e. Client Type “3”) / Fund Managers or Institutional Clients (i.e. Client Type “4”)

- For funds, fund managers and institutional clients, only ID Type “3” (i.e. Certificate of Incorporation (CI)/ other official incorporation document) or ID Type “4” (i.e. LEI) can be selected.
- ID Type “5” (i.e. Other official identity document) cannot be selected. This ID type is only for individual and joint account clients.
- If both CI and LEI are not available, should still select ID Type “3” and provide other official incorporation documents. For example: for state fund/ statutory body, they may select ID Type “3” and provide the relevant chapter number of the legislation empowering the statutory body or any identifier which is unique to such entity.

## 2. Text and Format of Mapping Data

### a. Name of Client

- Should use the **exact text** of the name as appeared on official identity document.
- Left-justified with trailing spaces.
- Unnecessary spaces or symbols should not be added.
- Example: if the official identity document is in Simplified Chinese, the name in the BCAN-CID mapping data should also be in Simplified Chinese

### b. ID Number

- Should use the **exact text** of the ID number including any characters, such as brackets.
- Left-justified with trailing spaces.
- Unnecessary spaces/symbols should not be added.
- Example: if the ID number shown on the official identity document is “A123456(7)”, then “A123456(7)” should be provided as ID number in the BCAN-CID mapping data.

## 3. Country / Region of Issuance

- For individual clients: the Country of Issuance should match with the issuing country/ jurisdiction of the individual’s official identity document. The ID Number should also be the number on that official identity document.
- For institutional clients: the Country of Issuance should match with the issuing country/ jurisdiction of the institution’s official incorporation document. The ID Number should also be the number on that official incorporation document.

#### **4. Change of Client Type**

- Client type of a registered BCAN is not allowed to be changed.
- In case a wrong client type is entered, the CCEP / TTEP should inform HKEX about the incident. The BCAN with wrong client type should be deleted before registering a new BCAN with correct client type.

#### **5. Change of BCAN**

- BCAN assigned to a client should not be changed or be re-used for another client. If the CCEP or TTEP needs to change the BCAN in exceptional cases, prior approval from HKEX will be required.