

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.