

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

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Subject: **HONG KONG INVESTOR IDENTIFICATION REGIME (HKIDR) – Explanatory Notes of Five Reporting Forms<sup>1</sup> and Update of Frequently Asked Question (FAQ), File Interface Specification and Information Paper**

Enquiry: [surveillance@hkex.com.hk](mailto:surveillance@hkex.com.hk)

### **Explanatory Notes of Reporting Form Submission**

To facilitate Exchange Participants (EPs) and other Relevant Regulated Intermediaries<sup>2</sup> to prepare for the five reporting forms as required under HKIDR, the Exchange issued today the Explanatory Notes to provide some specific examples of different reporting forms for illustration purpose. The Explanatory Notes are available on the [HKIDR web corner](#) and will be updated from time to time where appropriate.

### **Updated FAQ, File Interface Specification and Information Paper**

Please also note that an updated version of the FAQ, File Interface Specification and Information Paper for HKIDR is now available on the [HKIDR web corner](#) for reference. The SFC has also updated their FAQs about aggregated order at the [SFC webpage](#) on 17 Mar 2023.

EPs are encouraged to contact the Market Surveillance and Monitoring Department (email: [surveillance@hkex.com.hk](mailto:surveillance@hkex.com.hk)) should they have any question on the above.

**Felix Wang**  
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<sup>1</sup> The reporting forms refer to Aggregated Transaction Report, BCAN Change Report, BCAN Change for LP Quote Report, BCAN Error Report, and Off-Exchange Trade BCAN (Buy-side) Report.

<sup>2</sup> Relevant Regulated Intermediary means a relevant licensed or registered person as defined in paragraph 5.6(b)(xiv) of the SFC Code of Conduct.