

What should client do if cannot trade Hong Kong stock or only sell order is allowed? (For Individual & Joint accounts)

- If clients have not submitted the consent letter, please submit as soon as possible in order not to affect trading on or after 20 Mar 2023.

A. Through Online platforms:

- Online client can login to “Online Web Trading”:

its-web-uat.cpetrade.com

閣下尚未提交香港投資者識別碼制度披露及轉移個人資料客戶同意書。
如閣下要執行香港證券買入指示, 請提交有關同意書。
請按“確定”以瀏覽及填寫同意書。

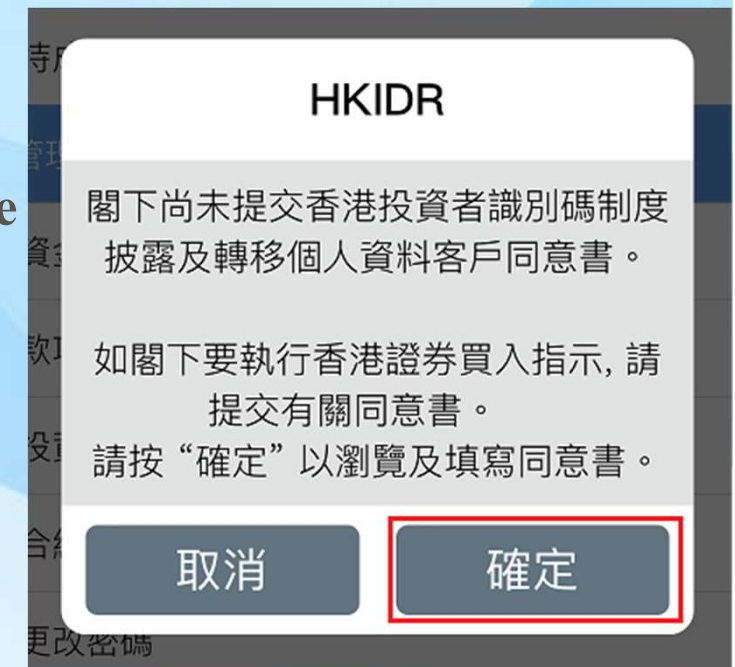
確定

取消

- click the prompt message to complete and submit the consent letter online

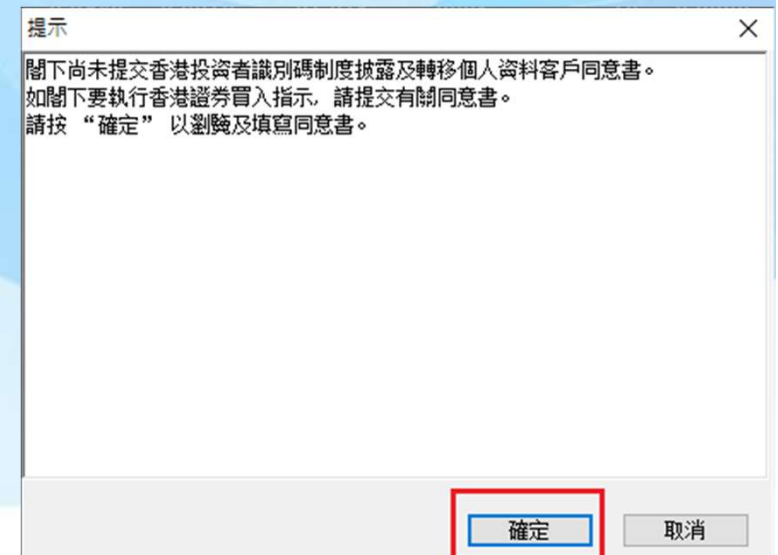
What should client do if cannot trade Hong Kong stock or only sell order is allowed? (For Individual & Joint accounts)

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- Online client can login to:
 - 「CPYGo」 Mobile App
 - click the prompt message to complete
 - submit the consent letter online



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- Online client can login to:
- 交易寶 (Chinese only) Mobile App
 - click the prompt message to complete
 - submit the consent letter online



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B. Through email

- Client with registered email can search for the email sent to you from 「CPY HKIDR」 in Sep/Oct 2022, click the link to complete and submit the consent letter online

尊貴的客戶 Dear Valued Customer,

遵守香港聯合交易所 (SEHK) 和證券及期貨事務監察委員會 (SFC) 的額外規則和要求客戶同意書 Client consent to comply with the additional rules of the Stock Exchange of Hong Kong (SEHK) and the Securities and Futures Commission (SFC)

感謝閣下一直以來對京華山一的支持 Thank you very much for your continuous support to Core Pacific-Yamaichi (CPY)!

根據《香港投資者識別碼制度(HKIDR)》，當向香港聯合交易所有限公司（「聯交所」）的交易系統提交或安排提交交易指令以供執行時，又或當交易所參與者根據聯交所的《交易所規則》向聯交所匯報場外交易（向聯交所作出的交易匯報）時，有關的交易指令或向聯交所作出的交易匯報時必須包括編配予相關客戶的識別碼。這有助識別交易指令及交易的始發人的身分，從而加強對市場的監察。Under the HKIDR, when an order is submitted or arranged to be submitted to the trading system of The Stock Exchange of Hong Kong Limited ("SEHK") for execution or where an off-exchange trade is reported to SEHK (OE Trade Reporting) by an Exchange Participant according to SEHK's Rules of the Exchange, the order or OE Trade Reporting would be required to include an identification code assigned to the relevant client. This would enhance market surveillance by identifying the originators of the orders and trades.

為避免你賬戶受到不必要的限制，請務必於2022年9月9日前回覆 Please reply as soon as possible before October 1, 2022 to prevent any trade restriction on your account;

請按此打開及填寫同意書 Please click here to open and fill in the consent form

以同意京華山一國際(香港)有限公司根據有關條款及目的收集、儲存、處理、使用、披露及轉移閣下的個人資料。未能向我們提供您的個人資料或確定同意書所述的同意可能意味著我們將不會或將不再能夠（視情況而定）執行您的交易指示或為您提供證券相關服務（除了出售、轉讓或撤回您現有的證券（如有））。to signify your consent for Core Pacific - Yamaichi International (H.K.) Limited to collect, store, process, use, disclose and transfer my/our personal data on the terms of and for the purposes set out in the form. Failure to provide us with your personal data or consent as described in the form may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

有關詳情可參考聯交所網頁 For details, please refer to the website of the SEHK:

https://www.hkex.com.hk/Services/Trading/Securities/Overview/Trading-Mechanism/HKIDR?sc_lang=en

全面解密投資者識別碼 Unlocking Investor ID:

https://d3n5m5ain2qhl.cloudfront.net/HKIDR_video_16082022.mp4

如有任何查詢，請聯絡閣下經紀或致電客戶服務部 (852) 2166-3888。For inquiries, please contact your Account Executive or our Customer Service Hotline at (852) 2166-3888.

What should client do if cannot trade Hong Kong stock or only sell order is allowed? (For Individual & Joint accounts)

- Click the check box and input client name to sign

確認和同意 Acknowledgement and Consent

本人/吾等,為客戶及以下簽署人, 確認本人/吾等已閱讀並理解上述內容。通過勾選下面的方框, 本人/吾等表示本人/吾等同意京華山一國際(香港)有限公司根據上述條款及目的收集、儲存、處理、使用、披露及轉移本人/吾等的個人資料。 I/We, the Client and the undersigned, acknowledge I/we have read and understand the above content. By ticking the box below, I/we signify my consent for Core Pacific - Yamaichi International (H.K.) Limited to collect, store, process, use, disclose and transfer my/our personal data on the terms of and for the purposes set out in the above.

☒ 本人/吾等同意京華山一國際(香港)有限公司根據上述條款及目的收集、儲存、處理、使用、披露及轉移本人/吾等的個人資料 I/We agree to Core Pacific - Yamaichi International (H.K.) Limited's collection, storage, processing, use, disclosure and transfer of my/our personal data on the terms of and for the purposes set out in the above.

簽署 :
Signed by:

- Client can receive a confirmation email after consent
- Client can contact your Account Executive to resend the consent letter email, click the link to complete and submit the consent letter online

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C. Client can download the consent letter from cpy.com.hk, send us the physical copy of the form or email to info@cpy.com.hk

https://www.cpy.com.hk/webfile/download/pdf/HKIDR_Client_Consent_Letter.pdf, or

- **Cpy.com.hk -> Customer Services -> Form Download -> HKIDR Consent Letter**

