

China Connect regulatory requirements (Investor ID)

With Investor ID coming into effect on 26 September 2018, it is a regulatory requirement to pass your personal data to the Stock Exchange of Hong Kong ("SEHK"). SEHK will transfer this information to the exchanges in China (either directly or through ChinaClear) for validation before carrying out your China A Shares trading instructions. Your orders submitted to the China Stock Connect System will be tagged with a Broker-to-Client Assigned Number ("BCAN"), also known as the Investor ID. This number is unique to you or the joint account (if any) you hold with HSBC.

If you wish to purchase China A Shares using our services, you need to give us your consent to use your personal data on the terms of and for the purposes set out in the [Supplemental Personal Information Collection Statement concerning Northbound China Connect Orders of HSBC](#). You will need to indicate if you have read, understood and agree to HSBC's use of your personal data for the purposes set out in the document.

You can now provide your consent by submitting the Supplemental Personal Information Collection Statement with us via Stock Express. Starting from 26 September 2018, you can also submit the Supplemental Personal Information Collection Statement via Easy Invest, phonebanking or at any of our branches.

To allow us to pass your personal data to SEHK and exchanges in China for validation on the same day, please submit your consent with HSBC before 1:00pm on a trading day. All consent instructions received after 1:00pm will be processed on the next trading day. Once the validation is completed, a SMS notification will be sent to you on the same day under normal circumstances, if you maintain a valid mobile phone number on record. You can then place a China A shares purchase order for dealing on the next trading day.

Kindly note that if such consent is not provided, and therefore your personal data will not be passed to exchanges for validation in advance, purchase of China A shares will not be allowed. You will only be allowed to hold, sell or transfer out China A Shares as per the regulatory requirement.

Note: If your Chinese name (if any) is in Simplified Chinese characters in your identification document, we would require an additional trading day to process your consent.

