

Definitions and Interpretation

Unless the context otherwise requires, terms defined in Schedule 1 to the Securities and Futures Ordinance or Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission bear the same meaning when used in the questions and answers below, and the following terms bear the following meanings:

- refers to a “Broker-to-Client Assigned Number”, being a unique identification code in the format prescribed by SEHK, generated by a Relevant Regulated Intermediary in accordance with SEHK’s requirements;
- - refers to the data file containing the BCAN and CID of all clients of a Relevant Regulated Intermediary in the format prescribed by SEHK from time to time;
- refers to the central entity number assigned by the SFC to licensed corporations and registered institutions;
- refers to the client identification data as described in paragraph 5.6(n) of the Code of Conduct;
- refers to the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission;
- refers to the Consultation Conclusions on proposals to (1) implement an investor identification regime at trading level for the securities market in Hong Kong and (2) introduce an over-the-counter

- **Investor ID Regime**