

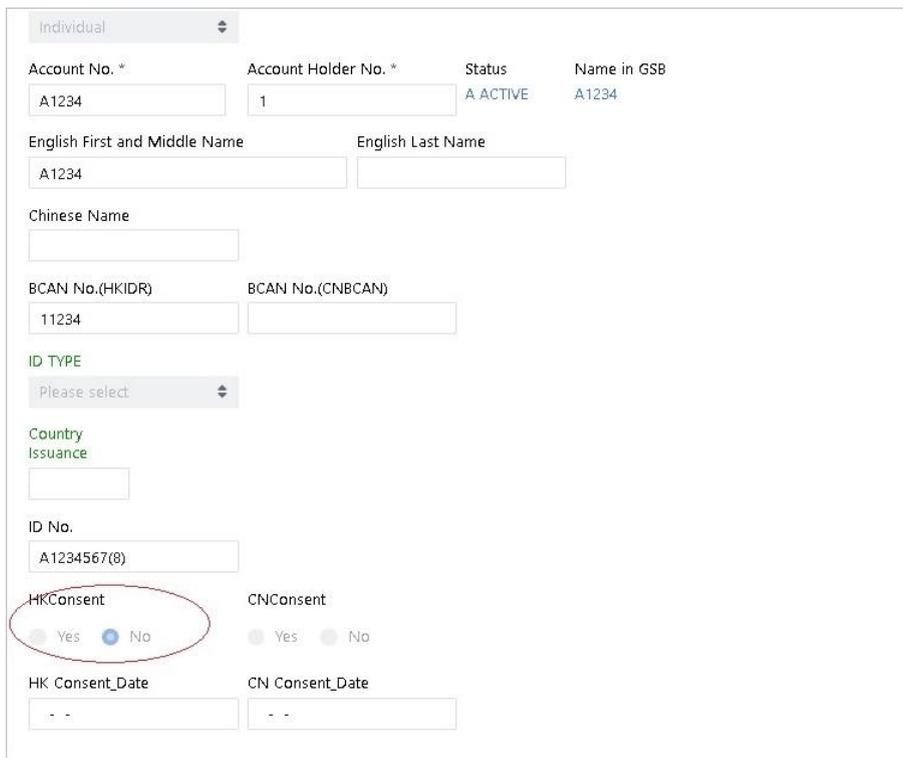
2022年4月29日

**Activity Rundown for HKIDR MR 2 on 22 October 2022 (SB-user)
Settlement System - GSB**

<p>9:00 - 12:00 noon</p>	<p>Submit BCAN-CID Mapping File and Report Forms:</p> <ul style="list-style-type: none"> • Aggregated Transaction Report • BCAN Change Report • BCAN Change for LP Quote Report • BCAN Error Report • Off-Exchange Trade BCAN (Buy-Side) Report <p>, if applicable.</p>
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Step1 upload new BCA-CID Mapping File.

In GsbHkidr,



The screenshot shows a form for an individual client. The fields are as follows:

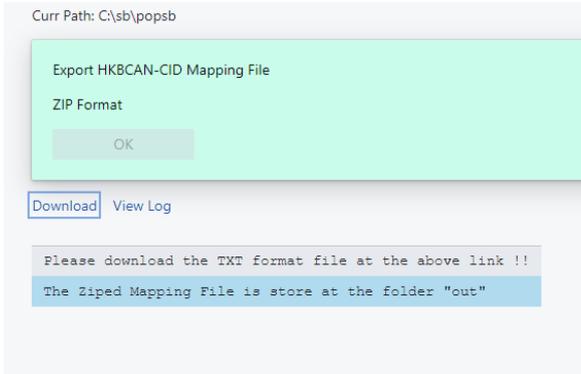
- Individual** (dropdown menu)
- Account No. ***: A1234
- Account Holder No. ***: 1
- Status**: A ACTIVE
- Name in GSB**: A1234
- English First and Middle Name**: A1234
- English Last Name**: (empty)
- Chinese Name**: (empty)
- BCAN No.(HKIDR)**: 11234
- BCAN No.(CNBCAN)**: (empty)
- ID TYPE**: Please select (dropdown menu)
- Country Issuance**: (empty)
- ID No.**: A1234567(8)
- HKConsent**: Yes No
- CNConsent**: Yes No
- HK Consent_Date**: --
- CN Consent_Date**: --

In "HKIDR Master" change some client(s) information :

- one client, change client name
- one client, change HKConsent from Yes to No
- one client, change HKConsent from No to Yes

Then, generate BCAN-CID mapping file(date 2022-10-22)

2022年4月29日



Similarly, EP could get its CE Number from the Identity Code field under File Submission of BCAN-CID Mapping File for HKIDR. For example, it is ABC123 in the below example.

File Submission

BCAN-CID Mapping File for HKIDR

Identity Relevant Regulated Intermediaries	Identity Code ABC123
File HBCNMAPP_ABC123_20221022.zip	
Submit	Cancel

Information

Submit [HBCNMAPP] File with Filename [HBCNMAPP_AAA000_20221022.zip],
checksum
[192F6B613B062141902DCCE42632EFF4E0203699C854984A40470DDBA8BB739E]
successfully

OK

remark:

1:00pm – 8:00pm	Retrieve and verify the BCAN-CID Process Result File and BCAN Full Image File
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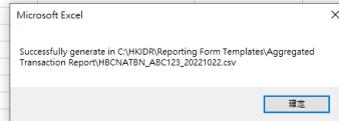
- Retrieve and verify BCAN-CID Process Result File and BCAN Full Image File from download corner

2022年4月29日

Step2 submission of reporting forms

Aggregated Transaction Report

Aggregated Transaction Report (HK Investor ID Regime) 合併交易指令報告(香港投資者識別碼制度)										
A	B	C	D	E	F	G	H	I	J	
Item No.	Reporting Date	CE No. of Reporting Regulated Intermediary	Executing Exchange Participant Firm ID	Transaction Date	Stock Code	Price	Quantity	Side (B/S)	Underlying Individual CE No. and BCAN	
編號	申報日期 (YYYYMMDD)	申報註冊機構的中央編號	執行交易的交易所參與者代號	交易日期 (YYYYMMDD)	股票編號	價格	股數	買入 / 沽出	個別相關券商客戶編號 (註冊機構的中央編號 + "." + 券商客戶編號)	
(E.g.) 1	20210311	ABC123	1234	20210309	5	43.1	10000	B	ABC123.88888888	
(E.g.) 2	20210311	ABC123	1234	20210309	5	43.1	30000	B	ABC123.99999999	
1	20221022	ABC123	1888	20221022	2269	55	50000	B	ABC123.12345	
2	20221022	ABC123	1888	20221022	2269	54	50000	B	ABC123.67890	



zipped HBCNATBN_ABC123_20221022.csv to HBCNATBN_ABC123_20221022.zip

Login ECP Web Interface and click “Submission” hyperlink in the navigation bar. Click “Aggregated Transaction and BCAN Change Reports” hyperlink for submission.

File Submission

Aggregated Transaction and BCAN Change Reports

Identity: Relevant Regulated Intermediaries Identity Code: ABC123

File: HBCNATBN_ABC123_20221022.zip

Submit Cancel

BCAN Change Report

BCAN Change Report (HK Investor ID Regime) 更改券商客戶編號報告(香港投資者識別碼制度)						
A	B	C	D	E	F	G
Item No.	Reporting Date	CE No. of Reporting Regulated Intermediary	Original CE No. and BCAN (CE No. + "." + BCAN)	Revised CE No. and BCAN (CE No. + "." + BCAN)	Changed Date	Reason of Change
編號	申報日期 (YYYYMMDD)	申報註冊機構的中央編號	原有的券商客戶編號 (註冊機構的中央編號 + "." + 券商客戶編號)	更改後的券商客戶編號 (註冊機構的中央編號 + "." + 券商客戶編號)	生效日期 (YYYYMMDD)	變更原因
(E.g.) 1	20210311	ABC123	ABC123.23456	ABC123.2345698765	20210310	Reason 1
(E.g.) 2	20210311	ABC123	ABC123.998765412	ABC123.2345	20210310	Reason 2
1	20221022	ABC123	ABC123.999123	ABC123.444554	20221022	for test bcان
2	20221022	ABC123	ABC123.443334	ABC123.42112	20221022	for test 2



zipped HBCNATBN_ABC123_20221022.csv to HBCNATBN_ABC123_20221022.zip

2022年4月29日

Login ECP Web Interface and click “Submission” hyperlink in the navigation bar. Click “Aggregated Transaction and BCAN Change Reports” hyperlink for submission.

File Submission
Aggregated Transaction and BCAN Change Reports

Identity: Relevant Regulated Intermediaries | Identity Code: ABC123

File: HBCNBCBN_ABC123_20221022.zip

Submit | Cancel

BCAN Error Report

BCAN Error Report (HK Investor ID Regime) 券商客戶編碼錯誤報告 (香港投資者識別碼制度)										
A	B	C	D	E	F	G	H	I	J	
Item No.	Reporting Date	Executing Exchange Participant Firm ID	Transaction Date	Stock Code	Trade Quantity	Trade Side (B/S)	Original CE No. and BCAN input in OTP-C	Revised CE No. and BCAN	Trade ID (OTP-C)	
編號	申報日期 (YYYYMMDD)	執行交易所參與者代號	交易日期 (YYYYMMDD)	股票編號	股數	買入 / 沽出	輸入於OTP-C的錯誤券商客戶編碼 (註冊機構的中央編號 + "." + 券商客戶編碼)	更正的券商客戶編碼 (註冊機構的中央編號 + "." + 券商客戶編碼)	交易編號 (OTP-C)	
(E.g) 1	20210309	1234	20210309	2345	200000	B	ABC123.23456	ABC123.2345698765	2345000000001	
(E.g) 2	20210309	1234	20210309	7654	1500000	S	ABC123.6789	ABC123.987654321	7654000000002	
1	20221015	1888	20221015	2269	500000	S	ABC123.4444	ABC123.333232	5000000001	
2	20221015	1888	20221015	5	400000	B	ABC123.4443	ABC123.12111	5000000002	

Microsoft Excel
Successfully generate in C:\HKIDR\Reporting Form Templates\BCAN Error Report\HBCNERBN_01888_20221015.csv

*Must be same as the submission date

BCAN Change for LP Quote Report

BCAN Change for LP Quote Report (HK Investor ID Regime) 更改流通量提供者報價的券商客戶編碼報告 (香港投資者識別碼制度)												
A	B	C	D	E	F	G	H	I	J	K	L	
Item No.	Reporting Date	Executing Exchange Participant Firm ID	Transaction Date	Time of BCAN Modification in OTP-C	Stock Code	Quantity	Side (B/S)	Original CE No. and BCAN input in OTP-C	Revised CE No. and BCAN	Order ID (OTP-C)	Reason of Change	
編號	申報日期 (YYYYMMDD)	交易所參與者代號	交易日期 (YYYYMMDD)	於OTP-C更改券商客戶編碼的時間 (HH:MM:SS)	股票編號	股數	買入 / 沽出	於OTP-C輸入的原有券商客戶編碼 (註冊機構的中央編號 + "." + 券商客戶編碼)	更新的券商客戶編碼 (註冊機構的中央編號 + "." + 券商客戶編碼)	交易指令編號 (OTP-C)	變更原因	
(E.g) 1	20210310	1234	20210309	10:11:12	2345	1000	B	ABC123.23456	ABC123.2345698765	237421	Reason 1	
(E.g) 2	20210310	1234	20210309	12:12:20	40561	200000	S	ABC123.23456	ABC123.2345698765	772320	Reason 2	
1	20221015	15300	20221015	10:12:20	5	40000	B	ABC123.12345	ABC123.67890	123456	Reason 1	
2	20221015	15300	20221015	10:12:20	2250	50000	B	ABC123.67890	ABC123.12345	123457	Reason 2	

Microsoft Excel
Successfully generate in C:\HKIDR\Reporting Form Templates\BCAN Change for LP Quote Report\HBCNLQBN_15300_20221015.csv

zipped HBCNLQBN_01888_20221015.csv to HBCNLQBN_01888_20221015.zip

Login ECP Web Interface and click “Submission” hyperlink in the navigation bar. Click “BCAN Change for LP Quote, BCAN Error and Off-exchange Trade BCAN (Buy-Side) Reports” hyperlink for submission.

File Submission
BCAN Change for LP Quote, BCAN Error and Off-exchange Trade BCAN (Buy-Side) Reports

Identity: SEHK Participant | Identity Code: 1888

File: HBCNLQBN_01888_20221015.zip

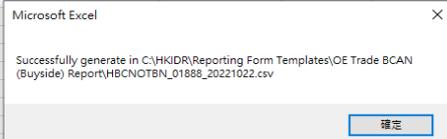
Submit | Cancel

Enquiry:
BSS Support Team - Hotline: 2840-3351 Email: bssupport@hkex.com.hk

2022年4月29日

Off-exchange Trade BCAN (Buy-Side) Report

Off-exchange Trade BCAN (Buy-Side) Report (HK Investor ID Regime)							
Generate CSV 非自動對盤交易 (買方) 交易券商客戶編碼報告 (香港投資者識別碼制度)							
A	B	C	D	E	F	G	H
Item No.	Reporting Date	Executing Exchange Participant Firm ID	Transaction Date	Stock Code	Trade Quantity	Buy-side CE No. and RCIAN	Trade ID (OTP-C)
編號	申報日期 (YYYYMMDD)	交易所參與者代號	交易日期 (YYYYMMDD)	股票編號	股數	買方的券商客戶編碼 (註冊機構的中央編號 + ".*" + 券商客戶編碼)	交易編號 (OTP-C)
(E.g.) 1	20210309	1234	20210309	2345	200000	ABC123.23456	2345000000002
(E.g.) 2	20210309	1234	20210309	3281	300000	ABC123.25578901	3281000000003
1	20221022	1888	20221022	2269	500000	ABC123.4443	2269000000001
2	20221022	1888	20221022	5	400000	ABC123.1222	5000000001



Download Corner

File Submission

BCAN Change for LP Quote, BCAN Error and Off-exchange Trade BCAN (Buy-Side) Reports

Identity: SEHK Participant Identity Code: 1888

File: HBCNOTBN_01888_20221022.zip

Submit Cancel

Enquiry: BSS Support Team - Hotline: 2840-3351 Email: bsssupport@hkex.com.hk

5:00pm - 8:00pm, In Download Corner, Download Result File for Reporting Forms

Download Corner

Filter: All

From (HK Time): 2022-05-14 To (HK Time): 2022-05-20

Search

Time	Subject	Last Available
2022-05-20 15:44	BCAN-CID Response File	2022-05-20
2022-05-20 04:00	BCAN Change Report Result File	2022-05-27

*****IMPORTANT*****

Before 6:00 pm, 24 October 2022

Complete and return the Feedback Form for MR 1 and MR 2 to HKEX through ECP 2.0 (<https://ecp2.hkex.com.hk/>).

HKIDRMR_XXXXXX.pdf (where XXXXXX is CE no. of RRI)