**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:

- "BCAN" refers to a "Broker-to-Client Assigned Number", being a unique identification code in the format prescribed by HKFE or SEHK, generated by a Relevant Regulated Intermediary in accordance with HKFE's or SEHK's requirements;

- "BCAN-CID Mapping File" refers to the data file containing the BCAN and CID of all clients of a Relevant Regulated Intermediary in the format prescribed by HKFE or SEHK respectively from time to time;

- "CE number" refers to the central entity number assigned by the SFC to licensed corporations and registered institutions;

- "CID" refers to the client identification data as described in paragraph 5.6A(n) of the Code of Conduct;

- "Code of Conduct" refers to the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission;

- "Consultation Conclusions" refers to the Consultation Conclusions on proposals to implement an investor identification regime at trading level for the exchange-traded derivatives market in Hong Kong published by the SFC in June 2026;

- "Consultation Paper" refers to the Consultation on proposals to implement an investor identification regime at trading level for the exchange-traded derivatives market in Hong Kong published by the SFC in September 2025;

- "EP" refers to an Exchange Participant;

- "Futures and Options Contracts" refers to any futures contract, options contract or stock option traded on HKFE's trading system;

- "HKEX Information Paper" refers to the Information Paper – Investor Identification Regime at Trading Level for the exchange-traded derivatives market in Hong Kong published by the HKEX in July 2026 (or as updated from time to time);

- “HKEX” refers to the Hong Kong Exchanges and Clearing Limited; References to HKEX in Frequently Asked Questions on HKIDR-DM the mean HKFE or SEHK, as the context requires.

- “HKFE” refers to the Hong Kong Futures Exchange Limited;

- “HKIDR-DM” refers to the investor identification regime to the exchange-traded derivatives market in Hong Kong;

- “HKIDR-S” refers to the investor identification regime at the trading level to the securities market in Hong Kong;

- “Relevant Client” refers to a party which has placed or proposes to place an order for Futures and Options Contracts through a futures/options trading account with a Relevant Regulated Intermediary. Where the order is a proprietary trade, the Relevant Client would refer to a Relevant Regulated Intermediary placing the order for itself. Where an order is routed through an intermediating chain of brokers, a Relevant Client would be the first person in the chain who is not a Relevant Regulated Intermediary;

- “Relevant Regulated Intermediary” or “RRI”, under the HKIDR-DM, refers to a licensed corporation (“LC”) or a registered institution (“RI”) which (i) submits (or arranges to submit) for execution an on-exchange order; or (ii) carries out a block trade order, in connection with: (i) conducting proprietary trades with Type 1 and/or Type 2 RRIs ; or (ii) providing derivatives brokerage services for another person in respect of orders placed through an account opened and maintained for that person;

- “SEHK” refers to The Stock Exchange of Hong Kong Limited; and

- “SFC” refers to the Securities and Futures Commission.