

尊敬的客戶：

**有關：首次公開招股結算平台 FINI**

根據香港交易所宣布，首次公開招股結算平台 FINI 將於 11 月 22 日正式啟用。

在 FINI 制度下，如閣下進行新股認購，山證國際證券有限公司（「本公司」）需要就收集及處理客戶識別信息取得閣下的明示同意，授權本公司在處理新股認購時提交閣下的身份資料。在 FINI 制度實施後，沒有交回明示同意會使本公司最終未能處理閣下的新股認購。敬請留意。

有關 FINI 詳情請見香港交易所[專題網頁](#)。

對於在 2022 年 5 月 31 日或之前開戶的客人，如閣下就早前本公司發出的表格<<香港投資者識別碼制度及場外證券交易匯報制度-個人資料收集聲明及客戶識別信息回執>>已作出回復，則無需再次回復，該回復已包含 FINI 制度有關的明示同意。但如閣下尚未回復，請盡快透過以下其中一種方式回復本公司：

1. 經 APP 提交（只適用於個人客戶）

打開「山證國際交易寶」證券 APP 後，在首頁點擊「投資者識別碼」提交表格。

2. 經網頁提交（只適用於個人客戶）

點擊以下網頁提交表格：

<https://hkidr.iqdii.com/UI/GLD/index.html#/?lang=chs&org=GLD&channel=30&custno=&openaccttype=0&typeno=&fromcomp=jyb&currentClient=0>

3. 經電郵、親身遞交、郵寄提交

參看本公司 2022 年 6 月 1 日發出之電郵<<山證國際 - 有關香港投資者識別碼制度及場外證券交易匯報制度的通知>>。

如有任何疑問，請聯絡閣下的客戶主任或致電客戶服務部（852）2501-1001（香港及海外）或 4008411618（中國內地）。

山證國際證券有限公司 謹啟

2023 年 11 月 21 日

21 Nov 2023

**Re: Fast Interface for New Issuance FINI**

We refer to the announcement of HKEX, the Fast Interface for New Issuance FINI will be officially launched on 22 November 2023.

Under the FINI, when you subscribe for IPO shares, Shanxi Securities International Limited (“SSIL”) will have to obtain your express consent to collect and process your client identification data (“CID”), and authorizes the Company to submit your identity information when processing IPO subscriptions. Upon the launch of the FINI, without obtaining your express consent will result in SSIL cannot process your IPO subscriptions ultimately. Please note and reply at your earliest convenience.

Please refer to HKEX’s [dedicated website](#) for more information about the FINI.

For the customers who opened an account on or before 31 May 2022 and have already replied to the form <<The HKIDR and the OTCR Personal Information Collection Statement and Client Identification Data Reply Slip>> sent from SSIL, you do not need to reply again since the form has included express consent of FINI. However, if you have not replied yet, please reply to SSIL via one of the following methods as soon as possible.

1. APP (only applicable to individual clients)

Open SSIL app “山證國際交易寶”, click “投資者識別碼” to submit in the first page.

2. Web (only applicable to individual clients)

Submit through below link:

<https://hkidr.iqdii.com/UI/GLD/index.html#/?lang=chs&org=GLD&channel=30&custno=&openaccttype=0&typeno=&fromcomp=jyb&currentClient=0>

3. Email, in person or by mail

Refer to our email “山證國際 - 有關香港投資者識別碼制度及場外證券交易彙報制度的通知” sent on 1 June 2022

Should you have any queries, please contact your Account Manager or our Customer Service Hotline (852)2501-1001 (Hong Kong) or 4008411618 (Mainland China).

Yours faithfully,

Shanxi Securities International Limited