

16 September 2022

## Circular to Intermediaries

### Investor Education on the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)

To facilitate the Relevant Regulated Intermediaries<sup>1</sup> (RRIs) preparing for the implementation and promoting public investors' awareness of the HKIDR and OTCR, the SFC has prepared various investor education items for the use of RRIs. Details are as follows.

#### Videos introducing the HKIDR and OTCR

The SFC has produced two videos (i.e. "Unlocking Investor ID" - [Full Video](#) and [Highlights versions](#)) for investor education of the regimes, which are now made available under the "Information for investors" section of our [HKIDR and OTCR dedicated webpage](#). The videos introduce the regimes to public investors, explain what they are required to do and address their major concerns under the regimes. We hope that the videos can facilitate RRIs' processes to obtain individual client's consent and update client information as part of the preparation for implementation. RRIs are welcome to refer their clients to the videos on [our dedicated webpage](#), or if appropriate, RRIs may post the [highlight video](#) up on their website/trading platform/trading applications for better reach-out to clients. Interested RRIs which wish to post up the [highlight video](#) please contact us via [hkidr\\_faq@sfc.hk](mailto:hkidr_faq@sfc.hk).

#### Posters, mask holders and pamphlet for the HKIDR and OTCR

We have also produced some promotional items including posters, pamphlets and face mask holders carrying key messages about the HKIDR and OTCR. The promotional items are made available to RRIs and public investors free-of-charge. They are now ready for collection on a first-come-first-serve basis at the following venues and time period:

Organisation	Venue	Time
SFC	The Reception at 38/F, One Island East, 18 Westlands Road, Quarry Bay, Hong Kong	From 19 September 2022, while stock lasts (Monday – Friday, 9:00 am to 5:00 pm, except public holidays)

<sup>1</sup> Relevant Regulated Intermediaries refer to SFC-licensed corporations and registered institutions subject to the HKIDR and OTCR pursuant to paragraphs 5.6 and 5.7 of the SFC's Code of Conduct for Persons Licensed by or Registered with the SFC as set out in the Appendix C to the SFC's consultation conclusions paper issued in August 2021.

Organisation	Venue	Time
Hong Kong Exchanges and Clearing Limited (HKEX)	HKSCC Counter at 1/F, One & Two Exchange Square, 8 Connaught Place, Central, Hong Kong	From 19 September 2022 to 14 October 2022, while stock lasts (Monday – Friday, 9:00 am to 6:00 pm, except public holidays)

We cordially invite RRIIs to distribute these promotional items to their clients.

In addition, electronic versions of the pamphlet in [Chinese](#) and [English](#) are made available on our [HKIDR and OTCR dedicated webpage](#). RRIIs are also welcome to download and make use of the electronic pamphlet so as to facilitate their handling of enquiries from clients.

We encourage RRIIs to make use of the videos and promotional items to better prepare for the implementation of the HKIDR and OTCR. Updates will be published on our [HKIDR and OTCR dedicated webpage](#) from time to time as new developments come into light.

## Securities and Futures Commission