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**INDUSTRY STANDARD OF THE
PEOPLE'S REPUBLIC OF CHINA**

JR/T 0183-2020

**Investor identification code for securities and futures industry
(English Translation)**

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Foreword

This standard was drafted in accordance with the rules given in GB/T 1.1-2009.

This standard was proposed by the Securities Technical Committee of the National Financial Standardization Technical Committee (SAC/TC180/SC4).

This standard is under the jurisdiction of the National Financial Standardization Technical Committee (SAC/TC180).

Drafting organizations of this standard. China Securities Regulatory Commission Information Center, China Securities Regulatory Commission Securities Fund Institution Supervision Department, Futures Supervision Department of China Securities Regulatory Commission, China Securities Depository and Clearing Co., Ltd., China Securities Information Technology Service Co., Ltd.

Ren company, China Financial Futures Exchange.

Introduction

In order to further standardize the investor account management system in my country's multi-level capital market, establish an investor identification code application for the securities and futures industry Please refer to the unified standard of distribution, promote information sharing among market participants, and formulate this standard.

On the basis of the investor identification code coding and distribution mechanism

established by this standard, investors in the securities exchange market and financial futures market Identity recognition has been unified through the construction of the industry's cross-period one-code-pass account system, fund account integration and development of fund account opening specifications it is also steadily advancing.

Securities and Futures Industry Investor Identification Code

1 Scope

This standard specifies the terms and definitions, code length and structure, code allocation, investor name Naming rules, investor identification certificate types, investor identification certificate numbers, and other auxiliary identification information.

This standard is applicable to the allocation of a unified investor identification code to investors in the securities and futures market.

2 Terms and definitions

The following terms and definitions apply to this document.

Code allocation institution Institutions that uniformly allocate and manage identification codes for investors in the securities and futures industry.

Investor identification code A unique code assigned by the code distribution agency to identify the identity information of investors in the securities and futures industry.

Product investor

Other than natural person investors and institutional investors, in the securities and futures industry with the meaning of independent property ownership.

Note: Such as securities investment funds, trust products, and collective wealth products.

3 Code length and structure

The investor identification code for the securities and futures industry is a 12-digit number (see Table 1), consisting of the first 2 investor type codes and the last 10 custom codes.

a) **Investor type code.** a code consisting of 2 digits ("18" or "19") representing the type of investor, natural person investor the type code is "18", and the institutional and product investor type code is "19".

b) **User-defined code.** It consists of 10 digits and is a sequence code automatically generated according to the application sequence of the investor identification code.

4 Code allocation

The code distribution agency distributes investor identification codes in the securities and futures industry in accordance with the code length and structure determined by this standard, and informs them before code distribution.

Know the essential information that investors need to provide. When applying for an investor identification code, investors need to provide the following three elements of information. investor name, investment the type of the investor's identification certificate, the number of the investor's identification certificate, and those that meet the requirements of Chapter 8 are required to provide other Related auxiliary identification information. See Appendix A for an example of code allocation.

5 Naming rules for investor names

The naming rules for investor names are as follows.

- a) The name of the natural person investor is the name of the investor;
- b) The name of the institutional investor is the full name of the institution;
- c) The name of the product investor refers to the product naming rules stipulated by the product authority.

6 Types of investor identification documents

Investor identification documents include primary identification documents and auxiliary identification documents. Among them, auxiliary identification documents are only used for the auxiliary verification of investor identity is not the main basis for code distribution.

The main types of identification documents include.

- a) The main identification document of the domestic natural person investor is the People's Republic of China resident ID card;
- b) The main identification documents for Hong Kong resident investors are the Mainland Travel Permit for Hong Kong and Macau Residents, Residence Permit for Hong Kong, Macau and Taiwan Residents or Hong Kong Residents ID card (the auxiliary ID number can be filled with the Mainland Travel Permit, but it is not used as the basis for allocating investor identification codes);
- c) The main identification documents for Macao resident investors are the Mainland Travel Permit for Hong Kong and Macao Residents, Residence Permit for Hong Kong, Macao and Taiwan Residents or Macao Residents ID card (the auxiliary ID number can be filled with the Mainland Travel Permit, but it is not used as the basis for allocating investor identification codes);

- d) The main identification document for Taiwan resident investors is the Mainland Travel Permit or other valid travel documents;
- e) Foreign natural person investors (except Hong Kong, Macau, and Taiwan) who have obtained China's permanent residency status shall have their identification documents for foreigners' permanent residency the identification certificate of other foreign natural person investors (except Hong Kong, Macao, and Taiwan) is a passport, or the local government or the Chinese government Recognized license;
- f) The main identification document of domestic institutional investors is the license with the unified social credit code (have not applied for the Investors with credit code certificates can use the original certificate with the registration number or batch number and other certificate numbers);
- g) The main identification certificate of the domestic product investor is the product manager's license with a unified social credit code (not yet applied for Investors who load the unified social credit code certificate can use the original certificate with the registration number or batch number, etc.);
- h) The main identification documents of foreign institutions and products are certificates recognized by the local government or the Chinese government.

The types of auxiliary identification documents include.

- a) Auxiliary identification documents for natural person investors include military ID, residence permit, temporary residence permit, passport, household register, foreign Permanent residence permit, etc.;
- b) Auxiliary identification documents for domestic institutional investors include business licenses, institutional credit code certificates, LEI (Global Corporate Identity Don't code) etc.;
- c) The auxiliary identification documents for domestic product investors include filing documents, approval documents, approval documents, bank Bank wealth management product code files, non-public offering product code files, private fund product code files, trust product code files, etc. A

7 Investor identification certificate number

The investor identification certificate number is the unique number corresponding to the chapter 6 identification certificate type.

8 Other auxiliary identification information

For products such as asset management plans of securities and futures operating institutions and insurance asset management plans with only one principal, the principal