

Account Opening Checklist – Corporate Account

開立賬戶核對清單 – 公司賬戶

Please attached the following **ORIGINAL or *CERTIFIED TRUE COPY** documents 請隨附以下文件之 **正本或*認證副本**：

* The qualified professions for certifying documents include SFC licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary 簽署認證之人士必須為證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書

Original Account Opening Documents Required

- Client's Agreement and Account Opening Form (Corporate Account)
- Board Resolutions (in original or certified as true copy by director)
- Self-Certification Form – Entity
- Self-Certification Form – Controlling Person
- Form W-8BEN-E
- (for Professional Investor)
Application for Treatment as Corporate Professional Investor
- (for Professional Investor and/or Asset Management Investment Account)
Risk Profile Questionnaire (Corporate Account)
- (for Asset Management Investment Account applying Discretionary Investment Management Services) Discretionary Investment Management Agreement
- (for Cash Securities Account applying Discretionary Account Services)
Discretionary Account Agreement

所需之開戶文件正本

- 客戶協議書及開戶申請書 (公司賬戶)
- 董事會決議書 (正本或由董事簽名之認證副本)
- 自我證明表格 – 實體
- 自我證明表格 – 控權人
- W-8BEN-E 表格
- (適用於專業投資者) 法團專業投資者申請書
- (適用於專業投資者及/或資產管理投資專戶)
風險取向問卷 (公司賬戶)
- (適用於資產管理投資專戶申請全權委託投資管理服務)
全權委託投資管理協議
- (適用現金證券賬戶申請委託賬戶服務)
全權委託賬戶協議

Certified True Copy of Company Documents Required 所需公司文件之認證副本

1. For Companies Incorporated in Hong Kong

- Certificate of Incorporation
- Business Registration Certificate
- Memorandum and Articles of Association
- Latest Annual Return (Form NAR1)
- Any subsequent forms filed with the Company Registry after the date of Annual Return (e.g. Form ND2A)
- Organization Chart (can be certified as true copy by director)
- Business Address Proof (within the latest 3 months): bank statement, utility statement etc.
- HKID (Permanent) or HKID plus PRC ID / Passport copies of all director(s), shareholder(s) (25% shareholding or more) and authorized person(s)
- Residential Address Proof (within the latest 3 months) of all director(s), shareholder(s) and authorized person(s)
- Bank proof showing the name of the account holder and account number: bank statement, notice issued by bank etc.

適用於香港註冊公司

- 公司註冊證書
- 商業登記證
- 公司章程細則
- 最近期之周年申報表 (表格 NAR1)
- 任何於周年申報日期後向公司註冊處提交的表格 (如表格 ND2A)
- 組織結構圖 (可由董事簽名核實為認證副本)
- 營業地址證明 (最近三個月內)：銀行月結單或公共事務繳款單等
- 所有董事、股東 (持股 25% 或以上) 及獲授權人士之香港永久居民身份證 或 香港居民身份證連內地身份證 / 護照
- 所有董事、股東 (持股 25% 或以上) 及獲授權人士之住宅地址證明 (最近三個月內)
- 顯示帳戶持有人及帳戶號碼的銀行證明：銀行月結單或其他由銀行發出之通知

2. For Companies Incorporated in Overseas

- Certificate of Incorporation
- Certificate of incumbency (issued within the last 6 months)
- Memorandum and Articles of Association
- Register of Directors
- Register of Members
- Organization Chart (certified as true copy by director)
- Business Address Proof (within the latest 3 months): bank statement, utility statement etc.
- HKID (Permanent) or HKID plus PRC ID / Passport copies of all director(s), shareholder(s) (25% shareholding or more) and authorized person(s)
- Residential Address Proof (within the latest 3 months) of all director(s), shareholder(s) and authorized person(s)
- Bank proof showing the name of the account holder and account number: bank statement, notice issued by bank etc.

適用於海外註冊公司

- 公司註冊證書
- 職權證明書 (過去六個月內簽發)
- 公司章程細則
- 董事名冊
- 股東名冊
- 組織結構圖 (由董事簽名核實為認證副本)
- 營業地址證明 (最近三個月內)：銀行月結單或公共事務繳款單等
- 所有董事、股東 (持股 25% 或以上) 及獲授權人士之香港永久居民身份證 或 香港居民身份證連內地身份證 / 護照
- 所有董事、股東 (持股 25% 或以上) 及獲授權人士之住宅地址證明 (最近三個月內)
- 顯示帳戶持有人及帳戶號碼的銀行證明：銀行月結單或其他由銀行發出之通知