

### Checklist For Individual & Joint Account 個人及聯名賬戶核對清單

<input type="checkbox"/>	(1)	Account Application Form	賬戶申請表格
<input type="checkbox"/>	(2)	Self-Certification Form – Individual/Joint Account	自我證明表格 – 個人賬戶及/或聯名賬戶
<input type="checkbox"/>	(3)	Client Money Standing Authority	客戶款項常設授權
<input type="checkbox"/>	(4)	Investment Risk Profiling Questionnaire (Individual/Joint Account)	投資風險評估 (個人/ 聯名客戶)
<input type="checkbox"/>	(5)	Client identification Data	客戶識別信息確認函
<input type="checkbox"/>	(6)	Personal Info Collection for HKIDR & OTCR	香港投資者識別碼及場外證券交易匯報制度之個人資料收集聲明

**(For Margin Account 如屬孖展賬戶)**

<input type="checkbox"/>	(7)	Letter of Authorization to dispose of, lend or deposit securities and/or securities collateral	有關出售、借出或存放證券及/或證券抵押品的授權書
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**Please Provide the following supporting documents 需要提供文件**

<input type="checkbox"/>	(8)	Certified True Copy of Identity Card or Passport Copy	身份證或護照核證副本
<input type="checkbox"/>	(9)	Residential/Permanent address proof and correspondence address proof (if different from residential address) within last 3 months* Such as utility bills (e.g. water bills or electricity bill, etc), bank statements or credit card statements.	附有客戶姓名之最近 3 個月之住址及通訊地址證明 (如與住址不同) 如: 公用服務單據(水費或電費等)、銀行發出之結單、信用卡月結賬單等

**Please provide the following documents if necessary 如有需要請提供以下文件**

<input type="checkbox"/>	(10)	Bank Account Proof (e.g. bank statement or bank passbook, etc) (if necessary)	銀行戶口證明(例如銀行月結單或存摺等) (如有需要)
<input type="checkbox"/>	(11)	General Knowledge on Derivatives Product and Derivatives Knowledge Questionnaire *Please read, complete and sign for trading Derivative Products if client has no knowledge on Derivative Products or client has no supporting document on his/her knowledge on Derivative Products	衍生產品基本常識及衍生工具知識問卷 *如對衍生產品沒有認識或未能就其對衍生產品的知識提供證明檔, 請閱讀, 完成及簽署以便買賣衍生產品
<input type="checkbox"/>	(12)	W-8BEN Form (declare of non- U.S. Person) / W-9 Form (declare the U.S. taxpayer status) *Please sign for trading US Stock and to be provided by all joint account owners	美國 W-8BEN 表格(申報不是美國人士) / 美國 W-9 表格(申報美國納稅人身份) *買賣美股必須簽署及所有聯名賬戶持有人均需提供
<input type="checkbox"/>	(13)	Electronic Trading Quotation Service Application Form *Real time quotation service	網上交易報價服務申請表格 *即時報價服務

**Notes 注意事項**

- The Account Executives should check the ORIGINAL and certify the copy of all of the above HKID Cards / Passports submitted by Clients and sign on the copy documents and state his / her name, SFC CE number and the certified date thereon. If the Clients' original identity documents are checked by a professional third party, the copy of HKID Cards/ Passports submitted by Clients should be also certified by that professional third party (e.g. practicing accountant, lawyer or notary public).  
客戶主任應查核所有客戶提交之香港身份證/護照之正本及核證有關副本, 並在該等副本上簽署及列明其姓名, 證監會中央編號及核證日期。如由第三方專業人士核對客戶身份, 客戶提交之香港身份證/護照之副本應由該專業第三者 (如: 執業會計師、律師或公證人) 核證。
- Any amendment must be initialed by Clients.  
任何修正必須由客戶簽署作實。
- Apart from the above documents, we shall have the right to request additional documents from the Clients if necessary.  
除上述文件外, 我們有權因應情況需要, 要求客戶提交額外文件。