

Checklist for Corporate Account *(Hong Kong Incorporated)*

公司賬戶核對清單 (只適用於香港註冊公司)

Please fill in and sign the following account opening documents 需要填寫及簽署的開戶文件

<input type="checkbox"/>	(1)	Account Application Form	賬戶申請表格
<input type="checkbox"/>	(2)	Investment Risk Profiling Questionnaire (Corporate Account)	投資風險評估 (公司客戶)
<input type="checkbox"/>	(3)	Self-Certification Form – Entity	自我證明表格 – 實體賬戶
<input type="checkbox"/>	(4)	Self-Certification Form – Controlling Person	自我證明表格 – 控權人
<input type="checkbox"/>	(5)	Client Money Standing Authority	客戶款項常設授權
<input type="checkbox"/>	(6)	Client identification Data	客戶識別信息確認函

(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 Certificate of Incorporation	公司註冊證核證副本
<input type="checkbox"/>	(9)	Certified true copy of Business Registration Certificate (where applicable)	商業登記證核證副本 (如適用)
<input type="checkbox"/>	(10)	Certified true copy of Memorandum & Articles of Association	公司組織章程大綱及細則核證副本
<input type="checkbox"/>	(11)	Certified true copy of a company search report certified by a company registry or professional third party (including the latest Annual Return and its subsequent change of particulars). The company search report should have been issued within the last 6 months.	一份由公司註冊處或專業第三者認證的公司查冊報告的核證副本(包括最近期之公司註冊處周年報表及其後更改的資料。) 該公司查冊報告應在過去 6 個月內簽發。
<input type="checkbox"/>	(12)	Certified true copy of Latest Audited Financial Statements	核證最近期經審核之財務報表(適用於非上市公司)
<input type="checkbox"/>	(13)	Correspondence address proof within last 3 months (if such address is different from the address shown in the Business Registration Certificate under item (8))	最近 3 個月公司通訊地址證明 (如與第(8)項中的公司登記地址不同)
<input type="checkbox"/>	(14)	Board Resolution – to authorize an account or account(s) be opened and maintained in the name of the Company and a person or person(s) to operate the account on behalf of the Company	證明批准開戶及授權有關人士運作該賬戶的董事局決議案
<input type="checkbox"/>	(15)	Specimen Signatures, addresses and contact numbers of account signatories and authorized persons	帳戶簽署人及獲授權人簽名式樣、地址及電話
<input type="checkbox"/>	(16)	Details of ownership and structure control of the company, e.g. an ownership chart or Significant Controllers Registers. For companies with multiple layers in their ownership structures, please provide us with the documents as item (7) or (10) of all intermediate companies. Where such documentation cannot be provided on a reasonable basis, please provide us with a director's declaration incorporating or annexing an ownership chart describing the intermediate layers (including company name and place of incorporation, and where applicable, the rationale behind the particular structure employed.) The information should reveal the chain of ownership to the individuals who are the ultimate beneficial owners of the Company.	公司的擁有權及控制權結構詳情, 例如擁有權架構表或重要控制人登記冊。 若公司有多層擁有權結構, 請提供中介層公司的相關文件: 文件(7)或文件(10)。 如在合理情況下無法提供上述文件, 請提供納入或附有有關公司的擁有權圖表的董事聲明, 而有關董事聲明對中介層有所描述(包括公司名稱、公司註冊地, 以及在適當情況下包括所採用的特定結構理據)。資料須隨擁有權結構以揭示公司的最終實益擁有人。
<input type="checkbox"/>	(17)	Deed of Guarantee and Indemnity	擔保及賠償保證書

□ (18)	Certified True Copies of the Valid ID/ Passport/ Certificate of Incorporation copies of all Director(s), PPTA, Beneficial Owner(s), Ultimate Beneficial Owner(s) and Guarantor (s)	所有董事、看似代表客戶行事的人、實益擁有人及（如適用的話）最終實益擁有人及擔保人之有效之身份證、護照、公司註冊證之核證副本。
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Please provide the following documents if necessary 如有需要請提供以下文件

□ (19)	General Knowledge on Derivatives Product and Derivatives Knowledge Questionnaire *Please read, complete and sign for trading Derivative Products if client has no knowledge on Structure/Derivative Products or cannot provide relevant supporting document	衍生產品基本常識及衍生產品問卷 *如對衍生產品沒有認識或未能提供相關證明, 請閱讀, 完成及簽署以便買賣衍生產品
□ (20)	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(申報非美國人士) / 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
□ (21)	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

- Documents (8) to (11) above should only be certified by a professional third party (e.g. practicing accountant, Lawyer or Notary Public).
文件(8)至(11)的認證, 只能由專業第三者 (如: 執業會計師、律師、公證人) 認證。
- Documents (18), 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 original identity documents are checked by a professional third party, the copy of HKID Cards/ Passports should be also certified by that professional third party.
文件(18), 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核證。
- “Beneficial Owner” is defined as a shareholder who has an interest in more than 25% of the issued share capital.
“實益擁有人”的定義為持有該公司已發行股本之 25%或以上。
- Memorandum & Articles of Association of the Company shall explicitly consent to the relevant investment.
公司章程中明確同意進行相關投資。
- 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。

Checklist for Corporate Account (Overseas Incorporated)

公司賬戶核對清單 (只適用於海外註冊公司)

Please fill in and sign the following account opening documents 需要填寫及簽署的開戶文件

<input type="checkbox"/>	(1)	Account Application Form	賬戶申請表格
<input type="checkbox"/>	(2)	Investment Risk Profiling Questionnaire (Corporate Account)	投資風險評估 (公司客戶)
<input type="checkbox"/>	(3)	Self-Certification Form – Entity	自我證明表格 – 實體賬戶
<input type="checkbox"/>	(4)	Self-Certification Form – Controlling Person	自我證明表格 – 控權人
<input type="checkbox"/>	(5)	Client Money Standing Authority	客戶款項常設授權
<input type="checkbox"/>	(6)	Client identification Data	客戶識別信息確認函

(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 Certificate of Incorporation	公司註冊證核證副本
<input type="checkbox"/>	(9)	Certified true copy of Memorandum & Articles of Association	公司組織章程大綱及細則核證副本
<input type="checkbox"/>	(10)	Certified true copy of Register of Director	核證董事記錄
<input type="checkbox"/>	(11)	Certified true copy of Register of Member	核證股東記錄
<input type="checkbox"/>	(12)	Correspondence address proof within last 3 months	最近3個月公司通訊地址證明
<input type="checkbox"/>	(13)	Board Resolution – to authorize an account or account(s) be opened and maintained in the name of the Company and a person or person(s) to operate the account on behalf of the Company	證明批准開戶及授權有關人士運作該賬戶的董事局決議案
<input type="checkbox"/>	(14)	Specimen Signatures, addresses and contact numbers of person purporting to act (“PPTA”)	賬戶簽署人及看似代表客戶行事的人的簽名式樣、地址及電話
<input type="checkbox"/>	(15)	<p>Details of ownership and structure control of the company, e.g. an ownership chart.</p> <p>For companies with multiple layers in their ownership structures, please provide us with the documents as item (8) and (19) of all intermediate companies.</p> <p>Where such documentation cannot be provided on a reasonable basis, please provide us with a director’s declaration incorporating or annexing an ownership chart describing the intermediate layers (including company name and place of incorporation, and where applicable, the rationale behind the particular structure employed.) The information should reveal the chain of ownership to the individuals who are the ultimate beneficial owners of the Company.</p>	<p>公司的擁有權及控制權結構詳情, 例如擁有權架構表。</p> <p>若公司有多層擁有權結構, 請提供中介層公司的相關文件: 文件(8)及文件(19)。</p> <p>如在合理情況下無法提供上述文件, 請提供納入或附有有關公司的擁有權圖表的董事聲明, 而有關董事聲明對中介層有所描述(包括公司名稱、公司註冊地, 以及在適當情況下包括所採用的特定結構理據)。資料須依隨擁有權結構以揭示公司的最終實益擁有人。</p>
<input type="checkbox"/>	(16)	Deed of Guarantee and Indemnity	擔保及賠償保證書
<input type="checkbox"/>	(17)	Certified True Copies of the Valid ID/ Passport/ Certificate of Incorporation copies of all Director(s), PPTA, Beneficial Owner(s), Ultimate Beneficial Owner(s) and Guarantor (s)	所有董事、看似代表客戶行事的人、實益擁有人、最終實益擁有人及擔保人之有效之身份證、護照、公司註冊證之核證副本。
<input type="checkbox"/>	(18)	A similar company search enquiry of the registry in the place of incorporation and a company report certified by the registry or professional third party (e.g. Certificate of Good Standing issued by the company registrar). The company search report should have been issued within the last 6 months.	一份由公司註冊處或專業第三者認證的公司查冊報告的認證副本 (例如一份由海外公司註冊處所簽發存續證明副本)。該公司查冊報告應在過去6個月內簽發。

□	(19)	A certificate of incumbency or equivalent issued by the company's registered agent in the place of incorporation; <i>OR</i> A similar of comparable document to a company search report or a certificate of incumbency certified by a professional third party in the relevant jurisdiction verifying that the information set out below, contained in the said document, is correct and accurate:- (a) The company is still registered and has not been dissolved, wound up, suspended or struck off; (b) The names of the directors and shareholders recorded in the company registry in the place of incorporation; and (c) The company's registered office address in the place of incorporation. The certificate of incumbency or company search report should have been issued within the last 6 months.	一份由有關公司的當地註冊代理人簽發的職權證明書(現任職位證明書)或等同文件;或 與公司查冊報告類似的文件或由相關司法管轄區的專業第三者核證的職權證明書(現任職位證明書),證實該文件所載有關下述提及的資料是正確及準確的: (a) 該公司仍有註冊及未解散、清盤、停業或被除名; (b) 記錄在公司註冊地的公司登記冊內的董事及股東姓名; (c) 公司在公司註冊地的公司註冊辦事處地址。 該公司查冊報告或職權證明書應在過去6個月內簽發。
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□	(21)	W-8BEN Form (declare of non- U.S. Person) / W-9 Form (declare the U.S. taxpayer status) *Please sign for trading US Stock	美國 W-8BEN 表格 (申報非美國人士) / 美國 W-9 表格 (申報美國納稅人身份) *買賣美股必須簽署
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 文件(17),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核證。
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 "實益擁有人"的定義為持有該公司已發行股本之25%或以上。
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 公司章程中明確同意進行相關投資。
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 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.
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