

Checklist For Individual & Joint Account 个人及联名账户核对清单

<input type="checkbox"/>	(1)	Account Application Form – For Individual & Joint Account	账户申请表 – 个人及联名账户适用
<input type="checkbox"/>	(2)	Investment Risk Profiling Questionnaire (Individual /Joint Account)	投资风险评估(个人/联名客户)

Please Provide the following supporting documents 需要提供文件

<input type="checkbox"/>	(3)	Certified True Copy of Identity Card or Passport Copy	身份证或护照核证副本
<input type="checkbox"/>	(4)	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.	附有客户姓名之最近 3 个月之住址及通讯地址证明 (如与住址不同) 如: 公用服务单据(水费或电费等)、银行发出之结单、信用卡月结账单等
<input type="checkbox"/>	(5)	Bank Account Proof (e.g. bank statement or bank passbook, etc)	银行户口证明(例如银行月结单或存折等)

Please provide the following documents if necessary 如有需要请提供以下文件

<input type="checkbox"/>	(6)	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	衍生产品基本常识及衍生工具知识问卷 *如对衍生产品没有认识或未能就其对衍生产品的知识提供证明档, 请阅读, 完成及签署以便买卖衍生产品
<input type="checkbox"/>	(7)	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	美国 W-8BEN 表格(申报不是美国人士) / 美国 W-9 表格(申报美国纳税人身份) *买卖美股必须签署及所有联名账户持有人均需提供
<input type="checkbox"/>	(8)	Assessment Form for Corporate/Individual Professional Investor Qualification	法团或个人专业投资者资格评估表格

Notes 注意事项

- 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).
客户主任应查核所有客户提交之香港身份证/护照之正本及核证有关副本, 并在该等副本上签署及列明其姓名, 证监会中央编号及核证日期。如由第三方专业人士核对客户身份, 客户提交之香港身份证/护照之副本应由该专业第三者 (如: 执业会计师、律师或公证人) 核证。
- 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, 我们有权因应情况需要, 要求客户提交额外文件。

