

## **Checklist for Account Opening 開設戶口文件清單**

### **For Individual Cash And/or Margin Account 個人現金及/或保證金戶口**

#### **Please complete and sign documents 需要簽署文件**

- ☐ (1) Individual Cash and/or Margin Account Opening Form 開戶表格
- ☐ (2) Client Account Opening Execution Form 客戶開戶執行表格
- ☐ (3) Risk Profile Questionnaire 風險承受能力問卷
- ☐ (4) Confirmation of Customer Due Diligence 客戶盡職審查確認信
- ☐ (5) Form W-8BEN – Foreign Status of Beneficial Owner for US Tax Withholding and Reporting (For Individual except US citizen) 非美國公民適用
- ☐ (6) Form W9 - Request for Taxpayer Identification Number and Certification (For US citizen only) 美國公民適用
- ☐ (7) Self-Certification Form – Individual 自我證明表格 - 個人
- ☐ (8) Client Consent on HKIDR 香港投資者識別碼制度之同意書

#### **Please provide the following supports documents 需要提供文件**

- ☐ (1) Hong Kong Identity Card or Passport Copy 香港身份證或護照影印本
- ☐ (2) Residential Proof within the latest 3 months (e.g. rates demand note) 最近 3 個月內之住址證明 (例如差餉單)
- ☐ (3) Bank Account Proof (e.g. bank statement) 銀行戶口證明 (例如銀行月結單)

#### **Non-Hong Kong Residents please provide the following supports documents 非本港人士必須提供以下文件**

- ☐ Identity Card Copy, Passport Copy & Entry Permits Copy 所屬國家之身份證影印本, 護照影印本及入境證明影印本

### **For Corporate Cash and/or Margin Account 公司現金及/或保證金戶口**

#### **Please complete and sign the following documents 需要簽署文件**

- ☐ (1) Corporate Account Opening Form 開戶表格
- ☐ (2) Client Account Opening Execution Form 客戶開戶執行表格
- ☐ (3) Client Consent on HKIDR 香港投資者識別碼制度之同意書
- ☐ (4) Risk Profile Questionnaire 風險承受能力問卷
- ☐ (5) Confirmation of Customer Due Diligence 客戶盡職審查確認信
- ☐ (6) W-8BEN-E 美國預扣稅實益擁有人海外地位證明書 - 實體
- ☐ (7) W-8IMY – Foreign Intermediary, Foreign Flow-Through Entity, or Certain U.S. Branches for US Tax Withholding
- ☐ (8) Form W9 - Request for Taxpayer Identification Number and Certification (For US entity only)
- ☐ (9) Self-Certification Form – Entity 自我證明表格 - 實體
- ☐ (10) Self-Certification Form – Controlling Person 自我證明表格 - 控權人

#### **Please provide the following supporting documents 需要提供文件**

- ☐ (1) A certified Extract of Board Resolution 經認證之董事決議摘要

- ☐ (2) A certified copy of the Memorandum and Articles of Association of the Company (updated as appropriate)  
公司組織大綱及章程之認證副本(最新版本)
- ☐ (3) Bank Statement within the latest 3 months OR A certified Audited Accounts for the latest financial year  
最近 3 個月內之銀行月結單 或 經認證之最近財政年度已經審核之賬目
- ☐ (4) Bank Account Proof AND Correspondence Address Proof within the latest 3 months  
公司銀行戶口證明 及 最近 3 個月內之通訊地址證明
- ☐ (5) Company organizational chart 公司組織架構圖 (適用於多層架構公司)
- ☐ (6A) **For Company incorporated in Hong Kong 適用於香港註冊公司**
  - i) A certified copy of valid Business Registration Certificate 經認證之商業登記證
  - ii) A certified copy of Certificate of Incorporation 經認證之公司註冊證
  - iii) Certified copies of Forms ND2A and latest Annual Return (with details of ultimate beneficial shareholders)  
經認證表格 ND2A 及最近公司年報 (附有最終權股東的資料)
  - iv) Copies of Hong Kong Identity Cards/ Passport and Address Proof of all Authorized Persons, Directors and Shareholders  
獲授權人士, 董事及股東的香港身份證或護照副本及地址證明

**Non-Hong Kong Residents please provide the following supports documents**  
**非本港人士必須提供以下文件**

  - ☐ Identity Card Copy, Passport Copy & Entry Permits Copy  
所屬國家之身份證影印本, 護照影印本及入境證明影印本

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- ☐ (6B) **For Overseas Company only 只適用於海外公司**
    - i) Certificate of Registration as Overseas Company issued by Hong Kong Companies Registry  
香港特別行政區公司註冊署發出的海外公司登記證明書
    - ii) Registered Agent's Certificate 海外註冊代理人之證書
    - iii) Certificate of Good Standing 海外公司註冊官簽發的良好記錄證書
    - iv) Certified true copy of register of all directors and Certificate of Incumbency  
經認證有關的董事委任記錄冊 (摘自法定董事名冊) 及 董事在職證明
    - v) Copies of Hong Kong Identity Cards/ Passport and Residential Proof of all Authorized Persons and Shareholders  
獲授權人士及股東的香港身份證或護照副本及住址證明

**Non-Hong Kong Residents please provide the following supports documents 非本港人士必須提供以下文件**

    - ☐ Identity Card Copy, Passport Copy & Entry Permits Copy  
所屬國家之身份證影印本, 護照影印本及入境證明影印本