

Corporate Account Opening Checklist and Guideline 公司賬戶開戶清單及指引

Required Documents 所需文件	HK Incorporated 香港註冊	Overseas Incorporated 海外註冊
	Must Provide 必須提供	Must Provide 必須提供
Account Opening Form (including Signature Page & Client Information Statement) 賬戶開立表格 (包括簽字頁及客戶資料表)	✓	✓
True Copy / Certified True Copy of Board Resolutions 董事會決議正本或認證證明副本	✓	✓
Copies of ID/ Passport of the followings: 1) Directors 2) Authorized Persons 3) Authorized Signatories 4) ultimate principal beneficial owners (holds 25% or more ultimate beneficial interest of the client) 下列人士身份證副本或護照副本: 1) 董事 2) 獲授權人 3) 獲授權簽署人士 4) 最終主要實益持有人 (擁有百分之二十五或以上公司最終權益)	✓	✓
Residential address proof of the followings: 1) Two Directors 2) Two Authorized Persons or Authorized Signatories 3) All ultimate principal beneficial owners (holds 25% or more ultimate beneficial interest of the client) 下列人士的住宅地址證明 (最近三個月之內發出): 1) 兩位董事 2) 兩位獲授權人或獲授權簽署人士 3) 所有最終主要實益持有人 (擁有百分之二十五或以上公司最終權益)	✓	✓
Certificate of Incorporation and subsequent Certificate of Change of Name (if applicable) 公司註冊證書及其後的公司更改名稱證書 (如適用)	✓	✓
Organization Chart (Notes 5) 組織架構圖 (附註 5)	✓	✓
Guarantee 擔保書	✓	✓
Memorandum & Articles of Association 公司章程或規則	✓	✓
Address Proof 公司地址證明	✓	✓
Register of Director 董事名冊記錄		✓
Register of Member 股東名冊記錄		✓
Certificate of Incumbency (issued within the past 6 months) 職權證明書 (最近六個月之內發出)		✓
Latest Annual Return, and subsequent Notification of Change of Secretary and Director (Appointment/Cessation) (Form D2A/ND2A), Return of Allotments (Form SC1/NSC1) and/or Instrument of Transfer (if applicable) 最近之週年申報表, 所有其後的秘書及董事更改通知書 (委任/離任) (表格 D2A/ND2A), 及股份分配申報表 (表格 SC1/NSC1) 及/或轉讓文書詳列現任股東的資料 (如適用)	✓	
Valid Business Registration Certificate 有效的商業登記證	✓	
Designated HK bank account & bank proof (Must clearly shows the bank name, account name & account number) 指定香港銀行賬戶及銀行證明 (必需清楚顯示銀行名稱, 賬戶持有人名稱及賬戶號碼)	✓	✓
Common Reporting Standard (CRS) and US FATCA Documents: Applicable Self-Certification Form and/ or IRS W form to establish the tax status under CRS and FATCA 共同匯報標準 (CRS) 及美國外國賬戶稅務合規法案 (FATCA) 文件: 適用的自行證明書及/ 或 IRS W 表格, 以確定貴公司在共同匯報標準及外國賬戶稅務合規法案 (FATCA) 下的稅務身份	✓	✓
If client would like to apply as Professional Investor 如客戶需要申請成為專業投資者		
Application Form for Professional Investors under Securities and Futures (Professional Investor) Rules (Cap571D of the laws of Hong Kong); OR Corporate Professional Investor Application Form (15.3A) & Appendix 根據《證券及期貨(專業投資者)規則》(香港法例第 571D 章)定義之專業投資者申請表; 或法團專業投資者申請表(15.3A)及附件	✓	✓
Professional Investor related Asset Proof (e.g. Bank statement/ brokerage firm statement). For application of Corporate Professional Investor (15.3A), please provide relevant supporting document(s). 與專業投資者相關的資產證明 (例如: 銀行結單/ 證券行結單); 有關申請成為法團專業投資者(15.3A), 請提供相關證明文件	✓	✓
If client would like to trade exchange traded derivative products 如客戶需要交易交易所買賣衍生產品		
Investor Characterization Questionnaire (Corporate Account) 投資者分類問卷 (公司客戶)	✓	✓
If client would like to trade OTC derivative products 如客戶需要交易場外衍生產品		
Client Investment Profile Questionnaire (Corporate) 公司投資取向問卷	✓	✓

Notes to the Corporate Account Opening Checklist 公司賬戶開戶清單附註:

1. Copies of those documents set out above MUST be certified as a certified true copy by following domestic intermediaries or overseas intermediaries. The Certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position or capacity on it. The certifier must state that it is a certified true copy of the original (or words to similar effect).

Domestic intermediaries:

- A. Practicing certified public accountant in Hong Kong;
- B. Practicing solicitor or lawyer or notary public in Hong Kong;
- C. Licensed estate agent or salesperson as defined by Estate Agents Ordinance;
- D. A trust or company service provider (TCSP) licensee in Hong Kong; and
- E. An financial institution that is an authorized institution, a licensed corporation, an authorized insurer, an appointed insurance agent or an authorized insurance broker ("Intermediary FI") in Hong Kong

Overseas intermediaries carrying on business or practising in an equivalent jurisdiction:

- A. an auditor, a professional accountant, or a tax advisor;
- B. a lawyer or a notary public;
- C. a person who carries on a business similar to that carried on by an estate agent;
- D. a trust or company service provider;
- E. a trust company carrying on trust business; and
- F. an institution that carries on a business similar to that carried on by an Intermediary FI

以上副本文件須經由以下本地中介人或海外中介人核證為認證副本。證明人必須在文件的副本上簽署並寫上日期（在下方以大楷清楚列示其姓名），並於當中清楚註明其職位或身分。證明人必須說明該副本文件為正本文件的認證副本(或具類似效力的字詞)。

本地中介人

- A. 香港執業會計師；
- B. 香港執業律師或公證人；
- C. 《地產代理條例》所界定的持牌地產代理或持牌營業員；
- D. 香港信託或公司服務持牌人；及
- E. 於香港經營與中介人金融機構所經營的業務相類似的業務的機構；

海外中介人 (在對等司法管轄區經營業務或執業)

- A. 核數師、專業會計師或稅務顧問；
- B. 律師或公證人；
- C. 經營與地產代理所經營的業務相類似的業務的人；
- D. 信託或公司服務提供者；
- E. 經營信託業務的信託公司；及
- F. 經營與中介人金融機構所經營的業務相類似的業務的機構

2. Account opening documents must be executed by the authorized persons stated in the relevant board resolution.

開戶文件必須由獲授權人根據董事會決議指示簽署。

3. Unless the client provides all the requested documents, otherwise the application for account opening will not be entertained.

除非客戶提供所有要求文件，否則開戶申請將不被受理。

4. The above checklist & guideline is the basic requirement of corporate account opening only. Additional documents/ information may need to obtain upon there is a need

以上清單及指引僅為設立公司戶口的基本要求。如有需要，本公司會請求客戶提供額外文件或資料。

5. Not required for HK registered company with sole individual beneficial owner.

Please provide the percentage of the interest of ownership of each individual/ entity to the client and Place of Incorporation for each company displayed on the chart. One of the client's director(s) has to sign & date, provide his/ her name in the organization chart for verification purpose, and provide below declaration or equivalence:

"I, <Name>, <Position/ Title in the organization>, confirm that this organization chart is accurate, and truly reflecting the current organization structure"

不適用於只有單一實益擁有人（個人）及於香港註冊的公司。

組織架構圖必需提供每位實益擁有人持有該公司的股權百分比及每一間於組織架構圖出現的公司之公司註冊地，並經由客戶其中一位董事簽署以及填上姓名及簽署日期以作核實，並提供以下或同義之聲明：

"本人 <姓名>，<於該公司的職位>，確認本組織架構圖準確無誤，並且充份反映目前組織內之股權結構"