

開戶清單 Account Opening Checklist

個人/聯名客戶 For Individual/Joint Client		
所需開戶文件 Account Opening Required Documents		
	個人帳戶 Individual account	聯名帳戶 Joint account
1. 香港永久居民身份證 如不是香港永久居民，須國內身份證（如適用）和護照 HKID card for Hong Kong Permanent Resident; If not Hong Kong Permanent Resident, PRC ID card (if so applicable) plus passport	✓	✓
2. 3個月內有效地址證明 Address proof within 3 months	✓	✓
3. 指定香港銀行帳戶之證明；聯名帳戶申請需提供聯名銀行帳戶證明 Designated HK bank account & bank proof, joint bank account & bank proof are required for opening Joint Account	✓	✓

公司客戶 For Corporate Client		
所需開戶文件 Account Opening Required Documents		
	香港註冊公司 HK Company	離岸公司 Offshore Company
1. 公司註冊證書的核證真實副本，及其後的公司更改名稱證書的核證真實副本（如適用） A certified true copy of Certificate of Incorporation and subsequent Certificate of Change of Name (if applicable)	✓	✓
2. 有效的商業登記證的核證真實副本 A certified true copy of the valid Business Registration	✓	
3. (a) 最近的週年申報表(NAR1 表格)的核證真實副本，或新成立公司請提供法團成立表格(NNC1 表格) 的核證真實副本； (b) 所有其後的秘書及董事更改通知書(委任/離任)(D2A/ND2A 表格)，及股份分配申報表(表格 SC1/NSC1)，轉讓文書及/或買賣票據的核證真實副本（如適用） (a) A certified true copy of the latest Annual Return (Form NAR1) or Incorporation Form (Form NNC1) if newly incorporated; (b) A certified true copy of the subsequent Notification of Change of Secretary and Director (Appointment/Cessation) (Form D2A/ND2A), Return of Allotments (Form SCI/NSC1), Instrument of Transfer and/or Bought and Sold Notes (if applicable)	✓	
4. 董事名冊記錄 Register of Director		✓
5. 股東名冊記錄 Register of Member		✓

<p>6. 公司章程或規則的正本或核證真實副本 An original or certified true copy of Memorandum & Articles of Association</p>	✓	✓
<p>7. 董事會決議正本或核證真實副本，包括授權交易人員和授權給予指示的人員的清單及簽名樣式 An original or certified true copy of Board resolution with list of authorized traders and conferring authority on those giving instructions and the specimen signatures</p>	✓	✓
<p>8. 職權證明書 (最近六個月之內發出) 的核證真實副本 A certified true copy of Certificate of Incumbency (issued within the past 6 months)</p>		✓
<p>9. 以下人士的身份證或護照核證真實副本: 1) 全部或其中兩位董事 2) 獲授權及簽署人士 4) 最終實益擁有人(擁有百分之二十五或以上公司最終權益)</p> <p>Certified true copies of ID/ Passport of the followings: 1) All or at least two Directors 2) All Authorized Persons and Signatories 3) Ultimate Principal Beneficial Owners (holds 25% or more ultimate beneficial interest of the client)</p>	✓	✓
<p>10. 以下人士的住宅地址的核證真實副本(最近三個月之內發出): 1) 全部或其中兩位董事 2) 獲授權及簽署人士 3) 最終實益擁有人 (擁有百分之二十五或以上公司最終權益)</p> <p>Residential address proof of the followings: 1) All or at least two Directors 2) All Authorized Persons and Signatories 3) All Ultimate Principal Beneficial Owners (holds 25% or more ultimate beneficial interest of the client)</p>	✓	✓
<p>11. 董事核實的組織結構圖 (見附錄#5) Organization chart certified by a director</p> <p>組織架構圖必需提供:</p> <ul style="list-style-type: none"> ◆ 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, ◆ 經由客戶其中一位董事簽署核實 (填上姓名及簽署日期), 並提供以下或同義之聲明: <u>"本人 <姓名>, <公司名稱> 的 <其職銜>, 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。"</u> <p>Please provide the information as below:</p>	✓	✓

<ul style="list-style-type: none"> ◆ The percentage of the interest of ownership of each individual/ entity to the client ◆ Place of Incorporation for each company displayed on the chart ◆ Confirmation (sign & date) of one of the client' s director(s), and provision of his/ her name in the organization chart for verification purpose, and provide below declaration or equivalence: <u>"I, <Name>, <Title> of <Company Name>, confirm that this organization chart is accurate, and truly reflecting the current organization structure."</u> 		
12. 3 個月內有效公司地址證明 Address Proof within 3 months	✓	✓
13. 指定香港銀行帳戶之證明	✓	✓
14. Designated HK Bank Account & Bank Proof		
15. 持牌機構客戶需提供持牌人及註冊機構牌照的核證真實副本 A certified true copy of Licence of Licensed Persons and Registered Institutions	✓	✓

專業投資者 For Professional Investors

所需開戶文件 Account Opening Required Documents

顯示不少於港幣 800 萬的 3 個月內銀行月結單/證券賬戶月結單/保管人結單

A copy of a bank statement, securities trading statement or custodian statement showing not less than HK\$8,000,000 within 3 months

✓

附錄 Notes:

1. 對於經核證的真實副本，只接受同等司法管轄區之公司註冊處的認證，或其他適當專業人士為證明人，如執業會計師、執業律師、公證人及特許秘書及行政人員公會（Institute of Chartered Secretaries and Administrators）或其指定分部的正式會員的人士。
For certified true copy, we only accept those issued and signed by the Companies Registry of the equivalent jurisdictions or professional persons (such as practicing certified public accountant, practicing solicitor or lawyer or notary public and current full member of the Institute of Chartered Secretaries and Administrators or its designated divisions).
2. 開戶文件必須由獲授權人根據董事會決議指示簽署。
Account opening documents must be executed by the authorized person(s) stated in the relevant board resolution.
3. 除非客戶提供所有要求文件，否則開戶申請將不被受理。
The application for account opening will not be entertained unless all the requested documents have been provided.
4. 以上清單僅為設立戶口的基本要求，如有需要，客戶可能被請求提供額外文件或資料。
The above checklist is the basic requirement of account opening only. Additional documents/ information may be required upon there is a need.