

## 開戶文件清單 (公司賬戶) Checklist for Account Opening Document (Corporate A/C)

開戶所需文件 Document required for account opening	
1.	開戶表格 (現金 / 保證金 / 期貨) <sup>1</sup> Account Opening Form (Cash / Margin / Futures) <sup>1</sup>
2.	董事局決議案 <sup>2,3</sup> Resolutions/ Minutes of Board of Directors <sup>2,3</sup>
3.	獲授權人士名單 <sup>2,3</sup> List of Authorized Person <sup>2,3</sup>
4.	有效的商業登記證 <sup>3,4</sup> (適用於香港註冊公司或於香港註冊的非香港公司) Valid Business Registration Certificate <sup>1</sup> (applicable to Hong Kong Incorporated Company or registered non-Hong Kong Company in Hong Kong) <sup>3,4</sup>
5.	公司註冊證書及其後的公司更改名稱證書(如有) <sup>3,4</sup> Certificate of Incorporation and subsequent Certificate of Change of Name, if any <sup>3,4</sup>
6.	公司組織章程大綱及章程細則 <sup>3,4</sup> Memorandum and Articles of Association <sup>3,4</sup>
7.	最近一期的周年申報表(NAR1)/法團成立表格(NNC1 or NNC1G) (適用於香港註冊公司或於香港註冊的非香港公司)或等同的文件 <sup>3,5</sup> Last Annual Return(NAR1)/ Incorporation Form(NNC1 or NNC1G) (applicable to Hong Kong Incorporated Company or registered non-Hong Kong Company in Hong Kong) or such equivalent documents <sup>3,5</sup>
8.	公司的擁有權及控制權結構詳情，例如擁有權架構表 <sup>2</sup> (適用於組織架構超過兩層的公司) Details of the ownership structure and control of the company, e.g. an Ownership Chart <sup>2</sup> (applicable to company with more than 2 layers of structure)
9.	公司良好存續證明 <sup>3,6</sup> (適用於成立超過一年的離岸註冊公司) Certificate of Good Standing <sup>3,6</sup> (applicable to Offshore Incorporated Company established for more than 1 year)
10.	董事在職證明書 <sup>3,4,6</sup> (適用於離岸註冊公司) Certificate of Incumbency <sup>3,4,6</sup> (applicable to Offshore Incorporated Company)
11.	公司註冊/商業地址證明文件 <sup>3,7</sup> Proof of Company Registered/ Business Address <sup>3,7</sup>
12.	住址證明文件 <sup>3,7</sup> (董事、最終實益擁有人 <sup>9</sup> 及擔保人) Proof of Residential Address <sup>3,7</sup> (Director(s), Ultimate Beneficial Owner(s) <sup>9</sup> and Guarantor(s))
13.	身份證明文件 <sup>3,8</sup> (董事、獲授權人、最終實益擁有人 <sup>9</sup> 及擔保人) Proof of Identity <sup>3,8</sup> (Director(s), Authorized Person(s), Ultimate Beneficial Owner(s) <sup>9</sup> and Guarantor(s))
14.	W-8BEN-E 表格 Form W-8BEN-E
15.	共同匯報標準(CRS)自我證明表格-實體 CRS Self-Certification Form – Entity and Controlling Person
16.	共同匯報標準(CRS)自我證明表格-控權人(如適用) CRS Self-Certification Form – Controlling Person (if applicable)

**額外所需文件：客戶為信託 / 客戶的最終實益擁有人為信託**

**Additional Documents for Trust Account / Company having Trust as the Ultimate Beneficial Owner**

a.	信託公司註冊證書或或等同的文件載明其開立的司法管轄區及有關安排受該司法管轄區的法律監管 <sup>3</sup> Certificate of Registration as a Trust Company or such equivalent documents to proof that the company is registered and governed by the regulated jurisdiction <sup>3</sup>
b.	身份證明文件 <sup>3,8</sup> (受託人、受益人、財產授予人及保護人或執行人) Proof of Identity <sup>3,8</sup> (Trustees, beneficiaries, settlers and protectors/ enforcers)
c.	住址證明文件 <sup>3,7</sup> (受託人、受益人、財產授予人及保護人或執行人) Proof of Residential Address <sup>3,7</sup> (Trustees, beneficiaries, settlers and protectors/ enforcers)
d.	信託契據 <sup>3</sup> Trust Deed <sup>3</sup>

註解 Notes

- 文件簽署人需包括在所提供的被授權人士名單內。  
Document signer shall be included in the List of Authorized Person which provided.
- 文件簽署人需為該公司董事。  
Document signer shall be a Director(s) of the company.
- 若該文件並非正本文件，其副本文件需經由適當的認證人士於最近六個月內作出文件認證。  
If such document is not an original, a true copy shall be certified by suitable certifier within last 6 months.  
適當認證人士之定義為(i) 在對等司法管轄區之律師、會計師、公證人、核數師、稅務顧問或司法人員，(ii) 香港特許秘書公會之成員，(iii) 發出身份核實文件的國家的大使館、領事館或高級專員公署的人員，或(iv) 本行職員或經紀。  
Suitable certifier is defined as (i) a solicitor, an accountant, a notary public, an auditor, a tax advisor, or a member of the judiciary in an equivalent jurisdiction, (ii) a member of the Hong Kong Institute of Chartered Secretaries (HKICS), (iii) an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity, or (iv) our Company's staff or Account Executive.
- 如客戶的董事或股東等為一間公司，則該項文件亦必須提供。  
If Director(s) or Shareholder(s) are a Corporate Entities these entities are also required to provide this document.
- 如客戶在年度內曾作出董事或股權變更而所提交之文件未能反映該項改動，客戶需一併提交輔助文件予以補充 (例如：更改公司秘書及董事通知書(委任/停任)(ND2A)、股份分配申報表(NSC1)、已蓋印花稅之股份轉讓文件或其他補充文件)。  
If there is any change of Director(s) or Shareholding which is not reflected on submitted documents, supplementary document shall be provided. (e.g. Notice of Change of Company Secretary and Director (Appointment/Cessation) (ND2A), Return of Allotment (NSC1), Sold / Bought Note and Instrument of Transfer with Stamp Duty Chop or other supporting documents.)
- 文件須為最近六個月內發出。  
Documents shall be issued within the last 6 months.
- 文件須為最近三個月內發出的銀行結單或公共事業賬單。  
Document shall be a Bank statement or a utility bill issued within the last 3 months.
- 不接受非永久性香港居民身份證、往來港澳通行證及不能顯示客戶的國籍及相片的身份證明文件。  
Non-permanent Hong Kong Identity Card, Exit-entry Permit for Travelling to and from Hong Kong and Macao and identify documents which client's nationality and photo is not shown, are not accepted.
- 該項適用於持有該公司 25%或以上的最終實益擁有人。  
Such item is applicable to the individuals who hold 25% or more of the ultimate beneficial interest of the company.