



Account Opening Checklist 開立賬戶核對清單

Corporate Account 公司賬戶

Account Opening Information Form must be accompanied by the following **original or certified documents** (all copies must be certified by a lawyer, a certified public accountant or notary public, to be true copies):

客戶開戶資料表格必須隨附以下文件 **正本或認證副本** (所有副本必須經由律師、執業會計師或公證人簽署認證)

Basic documents required 基本所需文件

1. Board minutes approving account opening 董事會決議書
2. Certificate of Incorporation 公司註冊證書
3. Memorandum and Articles of Association 公司組織章程大綱及章程細則
4. Address proof (latest 3 months) of the Company's place of business (e.g. bank statement or utility bill etc.)
公司最近三個月的地址證明(如銀行月結單或公共事務繳款單等)
5. HKID/Passport copies with signatures for all director(s) and authorized person(s) 所有董事及獲授權人士之香港身份證/護照(須附簽名)
6. Address proof with signatures for all director(s) and authorized person(s) 所有董事及獲授權人士最近三個月之地址證明(須附簽名)
7. AEOI Self-Certification Form (Please provide the Jurisdiction of Residence and Taxpayer Identification Number)
自動交換財務帳戶資料自我證明表格(請提供稅務管轄區及稅務編號)

For Company incorporated in HK 適用於香港註冊之公司

- A. Business Registration Certificate 公司商業登記證
- B. Details of Directors in Forms D1, D2 or D3 董事報表 (表格 D1, D2 或 D3)
- C. Latest Annual Return 最近期之公司年報

For Company incorporated in Oversea 適用於海外註冊公司

- A. Company search report / Certificate of Incumbency (issued within the last 6 months) 公司查冊報告 / 職權證明書(過去六個月內發)
- B. Register of Directors 董事名冊
- C. Register of Members 股東名冊

For Institutional Professional Investor 適用於機構專業投資者賬戶

- A. Form W-8IMY 美國稅務表格

For Corporate Professional Investor & Corporate Client Account 適用於法團專業投資者賬戶及公司賬戶

- A. Form W-8BEN-E 美國稅務表格

Asset Proof (for Professional Investor Only) 資產證明 (只適用於法團專業投資者賬戶)

Definition: Portfolio of not less than HK\$8 million or total assets of not less than HK\$40 million or its equivalent in any foreign currency;
價值不少於港幣八百萬元的投資組合或價值不少於港幣四仟萬元總資產或其等值外幣

(Please provide either one of supporting document(s) listed below 請提供以下其中一種證明文件)

- A. The latest audited financial statements prepared within 16 months before the account opening date; OR
開戶日前十六個月內之最近期審計財務報表; 或
- B. Custodian statements issued by registered institution or licensed corporation within 12 months before the account opening date.
由註冊機構或持牌公司在開戶日前十二個月內發出的保管人結單

Past investment experience and knowledge of person(s) responsible for making investment decision (Professional Investor Only) 作出投資決定的人士的過往投資經驗及知識 (只適用於法團專業投資者賬戶)

- A. Transaction records in relevant product / market in past 2 years. 最近兩年就相關產品或在相關市場進行的交易紀錄
- B. Certified documents/ Proof of knowledge and expertise in relevant product/ market.
有關產品及市場直接相關及有關連的金融業工作經驗的證明文件/ 專業資格證明文件