

## Checklist for Corporate Account *(Hong Kong Incorporated)*

### 公司账户核对清单 *(只适用于香港注册公司)*

#### Please fill in and sign the following account opening documents 需要填写及签署的开户文件

|                          |     |   |               |
|--------------------------|-----|---|---------------|
| <input type="checkbox"/> | (1) | Account Application Form                                    | 账户申请表格        |
| <input type="checkbox"/> | (2) | Investment Risk Profiling Questionnaire (Corporate Account) | 投资风险评估 (公司客户) |
| <input type="checkbox"/> | (3) | Self-Certification Form – Entity                            | 自我证明表格 – 实体账户 |
| <input type="checkbox"/> | (4) | Self-Certification Form – Controlling Person                | 自我证明表格 – 控权人  |
| <input type="checkbox"/> | (5) | Client Money Standing Authority                             | 客户款项常设授权      |
| <input type="checkbox"/> | (6) | Client identification Data                                  | 客户识别信息确认函     |

#### **(For Margin Account 如属孖展账户)**

|                          |     |  |                          |
|--------------------------|-----|--|--------------------------|
| <input type="checkbox"/> | (7) | Letter of Authorization to dispose of, lend or deposit securities and/or securities collateral | 有关出售、借出或存放证券及/或证券抵押品的授权书 |
|--------------------------|-----|--|--------------------------|

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

|                          |      |   |   |
|--------------------------|------|---|---|
| <input type="checkbox"/> | (8)  | Certified true copy of Certificate of Incorporation   | 公司注册证核证副本   |
| <input type="checkbox"/> | (9)  | Certified true copy of Business Registration Certificate (where applicable)   | 商业登记证核证副本 (如适用)   |
| <input type="checkbox"/> | (10) | Certified true copy of Memorandum & Articles of Association   | 公司组织章程大纲及细则核证副本   |
| <input type="checkbox"/> | (11) | Certified true copy of a company search report certified by a company registry or professional third party (including the latest Annual Return and its subsequent change of particulars). The company search report should have been issued within the last 6 months.   | 一份由公司注册处或专业第三者认证的公司查册报告的核证副本(包括最近期之公司注册处周年报表及其后更改的资料。) 该公司查册报告应在过去 6 个月内签发。   |
| <input type="checkbox"/> | (12) | Certified true copy of Latest Audited Financial Statements  | 核证最近期经审核之财务报表(适用于非上市公司)   |
| <input type="checkbox"/> | (13) | Correspondence address proof within last 3 months (if such address is different from the address shown in the Business Registration Certificate under item (8))   | 最近 3 个月公司通讯地址证明 (如与第(8)项中的公司登记地址不同)   |
| <input type="checkbox"/> | (14) | Board Resolution – to authorize an account or account(s) be opened and maintained in the name of the Company and a person or person(s) to operate the account on behalf of the Company  | 证明批准开户及授权有关人士运作该账户的董事局决议案   |
| <input type="checkbox"/> | (15) | Specimen Signatures, addresses and contact numbers of account signatories and authorized persons  | 帐户签署人及获授权人签名式样、地址及电话  |
| <input type="checkbox"/> | (16) | Details of ownership and structure control of the company, e.g. an ownership chart or Significant Controllers Registers.<br><br>For companies with multiple layers in their ownership structures, please provide us with the documents as item (7) or (10) of all intermediate companies.<br><br>Where such documentation cannot be provided on a reasonable basis, please provide us with a director's declaration incorporating or annexing an ownership chart describing the intermediate layers (including company name and place of incorporation, and where applicable, the rationale behind the particular structure employed.) The information should reveal the chain of ownership to the individuals who are the ultimate beneficial owners of the Company. | 公司的拥有权及控制权结构详情, 例如拥有权架构表或重要控制人登记册。<br><br>若公司有多层拥有权结构, 请提供中介层公司的相关文件: 文件(7)或文件(10)。<br><br>如在合理情况下无法提供上述文件, 请提供纳入或附有有关公司的拥有权图表的董事声明, 而有关董事声明对中介层有所描述(包括公司名称、公司注册地, 以及在适当情况下包括所采用的特定结构理据)。资料须依随拥有权结构以揭示公司的最终实益拥有人。 |
| <input type="checkbox"/> | (17) | Deed of Guarantee and Indemnity   | 担保及赔偿保证书  |

|                          |      |  |  |
|--------------------------|------|--|--|
| <input type="checkbox"/> | (18) | Certified True Copies of the Valid ID/ Passport/ Certificate of Incorporation copies of all Director(s), PPTA, Beneficial Owner(s), Ultimate Beneficial Owner(s) and Guarantor (s) | 所有董事、看似代表客戶行事的人、實益擁有人及（如適用的話）最終實益擁有人及擔保人之有效之身份證、護照、公司註冊證之核證副本。 |
|--------------------------|------|--|--|

**Please provide the following documents if necessary 如有需要請提供以下文件**

|                          |      |   |   |
|--------------------------|------|---|---|
| <input type="checkbox"/> | (19) | <b>General Knowledge on Derivatives Product and Derivatives Knowledge Questionnaire</b><br>*Please read, complete and sign for trading Derivative Products if client has no knowledge on Structure/Derivative Products or cannot provide relevant supporting document | <b>衍生產品基本常識及衍生產品問卷</b><br>*如對衍生產品沒有認識或未能提供相關證明, 請閱讀, 完成及簽署以便買賣衍生產品                      |
| <input type="checkbox"/> | (20) | <b>W-8BEN Form</b> (declare of non- U.S. Person) / <b>W-9 Form</b> (declare the U.S. taxpayer status)<br>*Please sign for trading US Stock and to be provided by all joint account owners   | <b>美國 W-8BEN 表格</b> (申報非美國人士) / <b>美國 W-9 表格</b> (申報美國納稅人身份)<br>*買賣美股必須簽署及所有聯名賬戶持有人均需提供 |
| <input type="checkbox"/> | (21) | <b>Electronic Trading Quotation Service Application Form</b><br>*Real time quotation service  | <b>網上交易報價服務申請表格</b><br>*即時報價服務  |

**Notes 注意事項**

- Documents (8) to (11) above should only be certified by a professional third party (e.g. practicing accountant, Lawyer or Notary Public).  
文件(8)至(11)的認證, 只能由專業第三者 (如:執業會計師、律師、公證人) 認證。
- Documents (18), the Account Executives should check the ORIGINAL and certify the copy of all of the above HKID Cards / Passports submitted by Clients and sign on the copy documents and state his / her name, SFC CE number and the certified date thereon. If the original identity documents are checked by a professional third party, the copy of HKID Cards/ Passports should be also certified by that professional third party.  
文件(18), 客戶主任應查核所有客戶提交之香港身份證/護照之正本及核證有關副本, 并在該等副本上簽署及列明其姓名, 证监会中央編號及核證日期。如由第三方專業人士核對客戶身份, 客戶提交之香港身份證/護照之副本應由該專業第三者核證。
- “Beneficial Owner” is defined as a shareholder who has an interest in more than 25% of the issued share capital.  
“實益擁有人” 的定義為持有該公司已發行股本之 25%或以上。
- Memorandum & Articles of Association of the Company shall explicitly consent to the relevant investment.  
公司章程中明確同意進行相關投資。
- Any amendment must be initialed by Clients.  
任何修正必須由客戶簽署作實。
- Apart from the above documents, we shall have the right to request additional documents from the Clients if necessary.  
除上述文件外, 我們有权因应情况需要, 要求客戶提交額外文件。

## Checklist for Corporate Account (Overseas Incorporated)

### 公司账户核对清单 (只适用于海外注册公司)

**Please fill in and sign the following account opening documents 需要填写及签署的开户文件**

|                          |     |   |               |
|--------------------------|-----|---|---------------|
| <input type="checkbox"/> | (1) | Account Application Form                                    | 账户申请表格        |
| <input type="checkbox"/> | (2) | Investment Risk Profiling Questionnaire (Corporate Account) | 投资风险评估 (公司客户) |
| <input type="checkbox"/> | (3) | Self-Certification Form – Entity                            | 自我证明表格 – 实体账户 |
| <input type="checkbox"/> | (4) | Self-Certification Form – Controlling Person                | 自我证明表格 – 控权人  |
| <input type="checkbox"/> | (5) | Client Money Standing Authority                             | 客户款项常设授权      |
| <input type="checkbox"/> | (6) | Client identification Data                                  | 客户识别信息确认函     |

**(For Margin Account 如属孖展账户)**

|                          |     |  |                           |
|--------------------------|-----|--|---------------------------|
| <input type="checkbox"/> | (7) | Letter of Authorization to dispose of, lend or deposit securities and/or securities collateral | 有关出售, 借出或存放证券及/或证券抵押品的授权书 |
|--------------------------|-----|--|---------------------------|

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

|                          |      |  |   |
|--------------------------|------|--|---|
| <input type="checkbox"/> | (8)  | Certified true copy of Certificate of Incorporation  | 公司注册证核证副本   |
| <input type="checkbox"/> | (9)  | Certified true copy of Memorandum & Articles of Association  | 公司组织章程大纲及细则核证副本   |
| <input type="checkbox"/> | (10) | Certified true copy of Register of Director  | 核证董事记录  |
| <input type="checkbox"/> | (11) | Certified true copy of Register of Member  | 核证股东记录  |
| <input type="checkbox"/> | (12) | Correspondence address proof within last 3 months  | 最近 3 个月公司通讯地址证明   |
| <input type="checkbox"/> | (13) | Board Resolution – to authorize an account or account(s) be opened and maintained in the name of the Company and a person or person(s) to operate the account on behalf of the Company   | 证明批准开户及授权有关人士运作该账户的董事局决议案   |
| <input type="checkbox"/> | (14) | Specimen Signatures, addresses and contact numbers of person purporting to act (“PPTA”)  | 账户签署人及看似代表客户行事的人的签名式样、地址及电话   |
| <input type="checkbox"/> | (15) | <p>Details of ownership and structure control of the company, e.g. an ownership chart.</p> <p>For companies with multiple layers in their ownership structures, please provide us with the documents as item (8) and (19) of all intermediate companies.</p> <p>Where such documentation cannot be provided on a reasonable basis, please provide us with a director’s declaration incorporating or annexing an ownership chart describing the intermediate layers (including company name and place of incorporation, and where applicable, the rationale behind the particular structure employed.) The information should reveal the chain of ownership to the individuals who are the ultimate beneficial owners of the Company.</p> | <p>公司的拥有权及控制权结构详情, 例如拥有权架构表。</p> <p>若公司有多层拥有权结构, 请提供中介层公司的相关文件: 文件(8)及文件(19)。</p> <p>如在合理情况下无法提供上述文件, 请提供纳入或附有有关公司的拥有权图表的董事声明, 而有关董事声明对中介层有所描述(包括公司名称、公司注册地, 以及在适当情况下包括所采用的特定结构理据)。资料须依随拥有权结构以揭示公司的最终实益拥有人。</p> |
| <input type="checkbox"/> | (16) | Deed of Guarantee and Indemnity  | 担保及赔偿保证书  |
| <input type="checkbox"/> | (17) | Certified True Copies of the Valid ID/ Passport/ Certificate of Incorporation copies of all Director(s), PPTA, Beneficial Owner(s), Ultimate Beneficial Owner(s) and Guarantor (s)   | 所有董事、看似代表客户行事的人、实益拥有人、最终实益拥有人及担保人之有效之身份证、护照、公司注册证之核证副本。   |
| <input type="checkbox"/> | (18) | A similar company search enquiry of the registry in the place of incorporation and a company report certified by the registry or professional third party (e.g. Certificate of Good Standing issued by the company registrar). The company search report should have been issued within the last 6 months.   | 一份由公司注册处或专业第三者认证的公司查册报告的认证副本 (例如一份由海外公司注册处所签发存续证明副本)。该公司查册报告应在过去 6 个月内签发。   |

|        |  |   |
|--------|--|---|
| □ (19) | <p>A certificate of incumbency or equivalent issued by the company's registered agent in the place of incorporation;<br/> OR</p> <p>A similar or comparable document to a company search report or a certificate of incumbency certified by a professional third party in the relevant jurisdiction verifying that the information set out below, contained in the said document, is correct and accurate:-</p> <p>(a) The company is still registered and has not been dissolved, wound up, suspended or struck off;</p> <p>(b) The names of the directors and shareholders recorded in the company registry in the place of incorporation; and</p> <p>(c) The company's registered office address in the place of incorporation.</p> <p>The certificate of incumbency or company search report should have been issued within the last 6 months.</p> | <p>一份由有关公司的当地注册代理人签发的职权证明书(现任职位证明书) 或等同文件; 或</p> <p>与公司查册报告类似的文件或由相关司法管辖区的专业第三者核证的职权证明书(现任职位证明书), 证实该文件所载有关下述提及的资料是正确及准确的:</p> <p>(a) 该公司仍有注册及未解散、清盘、停业或被除名;</p> <p>(b) 记录在公司注册地的公司登记册内的董事及股东姓名;</p> <p>(c) 公司在公司注册地的公司注册办事处地址。</p> <p>该公司查册报告或职权证明书应在过去 6 个月内签发。</p> |
|--------|--|---|

**Please provide the following documents if necessary 如有需要请提供以下文件**

|        |  |   |
|--------|--|---|
| □ (20) | <p><b>General Knowledge on Derivatives Product and Derivatives Knowledge Questionnaire</b></p> <p>*Please read, complete and sign for trading Derivative Products if client has no knowledge on Derivative Products or cannot provide relevant supporting document</p> | <p><b>衍生产品基本常识及衍生产品问卷</b></p> <p>*如衍生产品没有认识或未能提供相关证明, 请阅读, 完成及签署以便买卖衍生产品</p>          |
| □ (21) | <p><b>W-8BEN Form</b> (declare of non- U.S. Person) /<br/> <b>W-9 Form</b> (declare the U.S. taxpayer status)<br/> *Please sign for trading US Stock</p>   | <p><b>美国 W-8BEN 表格</b>(申报非美国人士) /<br/> <b>美国 W-9 表格</b>(申报美国纳税人身份)<br/> *买卖美股必须签署</p> |
| □ (22) | <p><b>Electronic Trading Quotation Service Application Form</b></p> <p>*Real time quotation service</p>  | <p><b>网上交易报价服务申请表格</b></p> <p>*即时报价服务</p>   |

**Notes 注意事项**

- Documents (8) to (11) and (18) to (19) above should only be certified by a professional third party (e.g. practicing accountant, Lawyer, or Notary Public)  
文件(8)至(11)及(18)至(19)的认证, 只能由专业第三者 (如:执业会计师、律师或公证人) 认证。
- Documents (17), the Account Executives should check the ORIGINAL and certify the copy of all of the above HKID Cards / Passports submitted by Clients and sign on the copy documents and state his / her name, SFC CE number and the certified date thereon. If the original identity documents are checked by a professional third party, the copy of HKID Cards/ Passports should be also certified by that professional third party.  
文件(17), 客户主任应查核所有客户提交之香港身份证/护照之正本及核证有关副本, 并在该等副本上签署及列明其姓名, 证监会中央编号及核证日期。如由第三方专业人士核对客户身份, 客户提交之香港身份证/护照之副本应由该专业第三者核证。
- "Beneficial Owner" is defined as a shareholder who has an interest in more than 25% of the issued share capital.  
“实益拥有人”的定义为持有该公司已发行股本之 25%或以上。
- Memorandum & Articles of Association of the Company shall explicitly consent to the relevant investment.  
公司章程中明确同意进行相关投资。
- Any amendment must be initialed by Clients.  
任何修正必须由客户签署作实。
- Apart from the above documents, we shall have the right to request additional documents from the Clients if necessary.  
除上述文件外, 我们有权因应情况需要, 要求客户提交额外文件。