

Checklist for Corporate Account

公司帳戶核對清單

Please provide the following account opening documents and supporting documents 請提供開戶文件及需提供之文件

	Company incorporated in Hong Kong 香港注册公司	Company incorporated in Overseas 海外注册公司	Required Documents 所需文件
1.	<input type="checkbox"/>	<input type="checkbox"/>	Account Application Form – For Corporate Account 账户申请表 – 公司账户适用
2.	<input type="checkbox"/>	<input type="checkbox"/>	Investment Risk Profile Questionnaire (Corporate Account) 投资风险评估 (公司客户)
3.	<input type="checkbox"/>	<input type="checkbox"/>	Board Resolution (1) 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; and (2) Specimen Signatures, and/or address/contact numbers/email address of account signatories and authorized persons 董事局决议案 (一) 证明批准开户及授权有关人士运作该账户; 及 (二) 帐户签署人及获授权人签名式样及/或地址/电话/电邮地址
4.	<input type="checkbox"/>	<input type="checkbox"/>	Deed of Guarantee and Indemnity 担保及赔偿保证书
5.	<input type="checkbox"/>	<input type="checkbox"/>	Correspondence address proof within last 3 months 最近3个月公司通讯地址证明
6.	<input type="checkbox"/>	<input type="checkbox"/>	Certified true copy of Certificate of Incorporation 公司注册证核证副本
7.	<input type="checkbox"/>	<input type="checkbox"/>	Certified true copy of Memorandum & Articles of Association 公司组织章程核证副本
8.	<input type="checkbox"/>		Certified true copy of Business Registration Certificate 商业登记证核证副本
9.	<input type="checkbox"/>		Certified true copy of Latest Annual Return/Annual Return of Limited Partnership Fund (Form NAR1/LPF5); and 最新的周年申报表/有限合伙基金周年申报表 (表格 NAR1/LPF5) 核证副本; 及 Certified true copy of Notice of Change of Company Secretary and Director (Appointment/Cessation) (Form ND2A) (if applicable) 更改公司秘书及董事通知书 (委任 / 停任) (表格 ND2A) 核证副本 (如适用)
10.		<input type="checkbox"/>	Certified true copy of Register of Members/Limited Partners 股东/有限合伙人名册核证副本
11.		<input type="checkbox"/>	Certified true copy of Register of Directors/General Partners 董事委任/普通合伙人名册核证副本
12.		<input type="checkbox"/>	Certified true copy of Certificate of Incumbency or equivalent issued by the company's registered agent in the place of incorporation issued within the past 6 months 职权证明书(现任职位证明书) 或等同文件核证副本 (最近 6 个月内发出)
13.		<input type="checkbox"/>	Certified true copy of Certificate of Good Standing issued by the company registrar issued within the past 6 months (if applicable) 海外公司注册处所签发存续证明核证副本 (最近 6 个月内发出) (如适用)
14.	<input type="checkbox"/>	<input type="checkbox"/>	Certified true copy of Partnership Agreement (if applicable) 合伙协议核证副本 (如适用)
15.	<input type="checkbox"/>	<input type="checkbox"/>	Certified true copy of Trust Deed and/or Declaration of Trust (if applicable) 信托契据及/或信托声明核证副本 (如适用)
16.	<input type="checkbox"/>	<input type="checkbox"/>	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。
17.	<input type="checkbox"/>	<input type="checkbox"/>	Certified True Copies of the Valid ID/ Passport/ Certificate of Incorporation copies of Trustee(s), Settlor(s), Protector(s) and/or Enforcer(s) (if applicable) 受托人、委托人、保护人和/或执行人的有效身分证明文件/护照/公司注册证书之核证副本 (如适用)
18.	<input type="checkbox"/>	<input type="checkbox"/>	For companies with multiple layers in their ownership structures, please provide us with the documents as item 6 and 9 or 12 of all intermediate companies. Where such documentation cannot be provided on a reasonable basis, please provide Ownership Structure Chart – Signed and declaration by Director specifying (1) all Intermediate Owners, (2) Ultimate Beneficial Owners, (3) Registration Number of all Entities in the Chart, (4) Country of Incorporation of all Entities in the Chart and (5) % of Shareholding 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 6 及 9 或 1 2。 如在合理情况下无法提供上述文件, 请提供由董事声明及签署的公司架构图列明 (一) 所有中介控股公司、(二) 最终实益拥有人、(三) 所有实体的注册编号、(四) 注册国家及(五) 股权资料。



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

	Company incorporated in Hong Kong 香港注册公司	Company incorporated in Overseas 海外注册公司	Required Documents 所需文件
19.	<input type="checkbox"/>	<input type="checkbox"/>	Assessment Form for Corporate/Individual Professional Investor Qualification 法团或个人专业投资者资格评估表格
20.	<input type="checkbox"/>	<input type="checkbox"/>	General Knowledge on Derivatives Product and Derivatives Knowledge Questionnaire ¹ 衍生产品基本常识及衍生产品问卷 ¹
21.	<input type="checkbox"/>	<input type="checkbox"/>	W-8BEN Form (declare of non- U.S. Person) /W-9 Form (declare the U.S. taxpayer status) ² 美国W-8BEN表格(申报非美国人士) /美国W-9表格(申报美国纳税人身份) ²
22.	<input type="checkbox"/>	<input type="checkbox"/>	Wolfsberg fccq/cbddq or relevant Anti-Money Laundering Questionnaire/AML related documents ³ 反洗钱问卷或反洗钱相关文件 ³

¹ Please read, complete and sign for trading Derivative Products if client has no knowledge on Structure/Derivative Products or cannot provide relevant supporting document 如对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

² Please sign for trading US Stock 买卖美股必须签署

³ This AML questionnaire is applied to Fund and Special Purpose Company or Vehicle. For Fund and Special Purpose Company or Vehicle, the questionnaire should be completed by Licensed Fund Manager. 此问卷适用于基金、特殊目的机构/公司。若属于基金或特殊目的机构/公司, 此问卷需由持牌基金经理填写。

Remarks 备注:

- Documents (6) to (17) should be certified true (signing and sighting) by a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public, chartered secretary or licensed person of CGI.
文件(6)至(17)的认证副本, 应由太平绅士或专业人士例如银行分行经理、执业会计师、律师、公证人、特许秘书或银河国际持牌人加以核证为真确的副本。
Certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position on it. Certifier must state that it is a true copy of the original (or words to similar effect)
核证人必须在文件副本上签署及注明日期(在签名下面清楚地以正楷注明全名), 并清楚地表明他/ 她的职位。核证人必须证明这是真确的副本(或相近意思的句子)
- "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。
- 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。