

## 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 香港註冊公司	Company incorporated in Overseas 海外註冊公司	Required Documents 所需文件
1.	<input type="checkbox"/>	<input type="checkbox"/>	Account Application Form – For Corporate Account 賬戶申請表 – 公司賬戶適用
2.	<input type="checkbox"/>	<input type="checkbox"/>	Investment Risk Profile Questionnaire (Corporate Account) 投資風險評估 (公司客戶)
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 董事局決議案 (一) 證明批准開戶及授權有關人士運作該賬戶; 及 (二) 帳戶簽署人及獲授權人簽名式樣及/或地址/電話/電郵地址
4.	<input type="checkbox"/>	<input type="checkbox"/>	Deed of Guarantee and Indemnity 擔保及賠償保證書
5.	<input type="checkbox"/>	<input type="checkbox"/>	Correspondence address proof within last 3 months 最近3個月公司通訊地址證明
6.	<input type="checkbox"/>	<input type="checkbox"/>	Certified true copy of Certificate of Incorporation 公司註冊證核證副本
7.	<input type="checkbox"/>	<input type="checkbox"/>	Certified true copy of Memorandum & Articles of Association 公司組織章程核證副本
8.	<input type="checkbox"/>		Certified true copy of Business Registration Certificate 商業登記證核證副本
9.	<input type="checkbox"/>		Certified true copy of Latest Annual Return/Annual Return of Limited Partnership Fund (Form NAR1/LPF5); and 最新的周年申報表/有限合夥基金周年申報表 (表格 NAR1/LPF5) 核證副本; 及 Certified true copy of Notice of Change of Company Secretary and Director (Appointment/Cessation) (Form ND2A) (if applicable) 更改公司秘書及董事通知書 (委任 / 停任) (表格 ND2A) 核證副本 (如適用)
10.		<input type="checkbox"/>	Certified true copy of Register of Members/Limited Partners 股東/有限合夥人名冊核證副本
11.		<input type="checkbox"/>	Certified true copy of Register of Directors/General Partners 董事委任/普通合夥人名冊核證副本
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 職權證明書(現任職位證明書) 或等同文件核證副本 (最近 6 個月內發出)
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) 海外公司註冊處所簽發存續證明核證副本 (最近 6 個月內發出) (如適用)
14.	<input type="checkbox"/>	<input type="checkbox"/>	Certified true copy of Partnership Agreement (if applicable) 合夥協議核證副本 (如適用)
15.	<input type="checkbox"/>	<input type="checkbox"/>	Certified true copy of Trust Deed and/or Declaration of Trust (if applicable) 信託契據及/或信託聲明核證副本 (如適用)
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、看似代表客戶行事的人、實益擁有人、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。
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) 受託人、委託人、保護人和/或執行人的有效身分證明文件/護照/公司註冊證書之核證副本 (如適用)
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 若公司有多層擁有權結構, 請提供中介層公司的相關文件: 文件 6 及 9 或 1 2。 如在合理情況下無法提供上述文件, 請提供由董事聲明及簽署的公司架構圖列明 (一) 所有中介控股公司、(二) 最終實益擁有人、(三) 所有實體的註冊編號、(四) 註冊國家及(五) 股權資料。



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

	Company incorporated in Hong Kong 香港註冊公司	Company incorporated in Overseas 海外註冊公司	Required Documents 所需文件
19.	<input type="checkbox"/>	<input type="checkbox"/>	Assessment Form for Corporate/Individual Professional Investor Qualification 法團或個人專業投資者資格評估表格
20.	<input type="checkbox"/>	<input type="checkbox"/>	General Knowledge on Derivatives Product and Derivatives Knowledge Questionnaire <sup>1</sup> 衍生產品基本常識及衍生產品問卷 <sup>1</sup>
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) <sup>2</sup> 美國W-8BEN表格(申報非美國人士) /美國W-9表格(申報美國納稅人身份) <sup>2</sup>
22.	<input type="checkbox"/>	<input type="checkbox"/>	Wolfsberg fccq/cbddq or relevant Anti-Money Laundering Questionnaire/AML related documents <sup>3</sup> 反洗錢問卷或反洗錢相關文件 <sup>3</sup>

<sup>1</sup> 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

<sup>2</sup> Please sign for trading US Stock 買賣美股必須簽署

<sup>3</sup> 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. 此問卷適用於基金、特殊目的機構/公司。若屬於基金或特殊目的機構/公司，此問卷需由持牌基金經理填寫。

Remarks 備註:

- 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)的認證副本，應由太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人、特許秘書或銀河國際持牌人加以核證為真確的副本。  
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)  
核證人必須在文件副本上簽署及註明日期(在簽名下面清楚地以正楷註明全名)，並清楚地表明他/ 她的職位。核證人必須證明這是真確的副本(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.  
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。
- 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，我們有權因應情況需要，要求客戶提交額外文件。