

金禧國際證券(香港)有限公司

Checklist for Corporate Account 公司賬戶核對清單

Please provide the following supporting documents 請提供以下所需文件

Required Documents / Information Required 所需文件 / 資料		For HK Incorporated Company 適用於香港註 冊之公司	For Non-HK Incorporated Company 適用於非香港 註冊之公司	For Institutional Professional Investor 適用於機構專業 投資者帳戶	For Corporate or Partnership Professional Investor 適用於法團或 合夥專業投資 者帳戶
<input type="checkbox"/>	1 Board Resolution 董事局決議書	✓	✓	✓	✓
<input type="checkbox"/>	2 Copy of Identity Cards of authorized signatories and all Directors 授權人士及所有董事之身份證明文件副本	✓	✓	✓	✓
<input type="checkbox"/>	3 Copy of Business Registration Certificate 商業登記證副本	✓		✓	✓
<input type="checkbox"/>	4 Organizational structure 公司架構表	✓	✓	✓	✓
	5 Copy of Memorandum & Articles of Association 公司組織大綱及章程副本	✓	✓	✓	✓
<input type="checkbox"/>	6 Copy of Certificate of Incorporation and any name change certificate 公司註冊證書副本及公司已更改名稱證書副本	✓	✓	✓	✓
<input type="checkbox"/>	7 Copy of latest Annual Return (Form AR1) and Copy of subsequent change of Secretary and Directors Information (Form D2A) 最近周年申報表副本(AR1 表格)與隨後之更改秘書及董事資料副本(D2A 表格)	✓		✓	✓
<input type="checkbox"/>	8 Copy of Significant Controllers Register 公司重要控制登記冊副本	✓		✓	✓
<input type="checkbox"/>	9 List of Directors 公司董事名冊		✓		✓ (In case of Non-HK Corporate)
<input type="checkbox"/>	10 List of Shareholders 股東名冊		✓		
<input type="checkbox"/>	11 Company Search (within 6 months)/ Certificate of Incumbency (within 6 months)* (Applicable for Offshore entity) 公司查冊(印發日期需為6個月內)/職權證明書(印發日期需為6個月內)(離岸公司適用)		✓		
<input type="checkbox"/>	12 Major shareholder (who is entitled to exercise, or control the exercise of, 25% or more of voting power at the general meeting of the company) and ultimate beneficiary information including ID or passport copies 公司主要股東(在該公司股東大會上行使或控制行使25%或以上投票權的人士)及最終受益人資料之身份證明文件或護照副本	✓	✓	✓	✓
	13 Residential address proof (and permanent address, if different) of all substantial shareholders and ultimate beneficial owners 大股東及最終受益擁有人之有效核證住址證明(及永久地址, 如有不同)	✓	✓	✓	✓
<input type="checkbox"/>	14 Address proof of the company's all Directors (e.g. Utility Bills, Bank Statement, etc., dated within 3 months) 所有董事之公司住址證明(如公用事業單據, 銀行結單等, 印發日期需為三個月內)	✓	✓	✓	✓
<input type="checkbox"/>	15 Latest Audited Accounts/ Certificate of Good Standing/ Latest financial statement 最新審計財務報表/良好聲譽證明書/最新財務報表	✓	✓	✓	✓

<input type="checkbox"/>	16	Letter of Guarantee with guarantor's address proof (if the guarantor is not director or shareholder, provide identification of guarantor) (if applicable) 擔保人住址證明及保證書 (擔保人如不是董事或股東, 需提交身份證明文件) (如適用)	✓	✓	✓	✓
<input type="checkbox"/>	17	Address proof of the company (e.g. Utility Bills, Bank Statement, etc., dated within 3 months) 公司地址證明(如公用事業單據, 銀行結單等, 印發日期需為三個月內)	✓	✓	✓	✓
<input type="checkbox"/>	18	Bank proof of the company 銀行公司帳戶證明	✓	✓	✓	✓
<input type="checkbox"/>	19	License Certificate or License Register Record 監管機構發出的牌照證明或註冊紀錄			✓	
<input type="checkbox"/>	20	All of above-mentioned documents have to be certified by notary public or professionals (include a practicing lawyer, a professional practicing accountant or a professional practicing company secretary) 以上所有文檔均需經公證人員、專業人員(如執業的律師, 會計師或公司秘書)簽名驗證	✓	✓	✓	✓
<input type="checkbox"/>	21	Other Documents 其他文件:				

Client Account Opening Form 客戶開戶表格

<input type="checkbox"/>	22	Account Opening Form-Corporate 證券開戶書(公司帳戶)	✓	✓	✓	✓
<input type="checkbox"/>	23	Terms and Conditions for Securities Trading 證券交易條款與細則	✓	✓	✓	✓
<input type="checkbox"/>	24	Corporate FATCA Self-Certification 公司《海外帳戶稅收合規法案》自行認證	✓	✓	✓	✓
<input type="checkbox"/>	25	Anti-Money Laundering and Anti-Terrorist Financing Questionnaire 防止洗黑錢及防止恐怖份子籌資活動問卷	✓	✓		✓
<input type="checkbox"/>	26	AML Questionnaire 防止洗錢問卷調查			✓	
<input type="checkbox"/>	27	客戶風險剖析問卷 (公司)	✓	✓		
<input type="checkbox"/>	28	Investor Suitability Assessment Form 客戶投資風險評估表			✓	✓
<input type="checkbox"/>	29	W-8BEN-E Form (Non-U.S. Entities) 美國預扣稅及申報實益擁有人之外籍身分證明(非美國機構)	✓	✓	✓	✓
<input type="checkbox"/>	30	W-8MIY Form (Non-U.S. Intermediary) 美國預扣稅及申報實益擁有人之外籍身分證明(非美國中介人)			✓	✓
<input type="checkbox"/>	31	Common Reporting Standard (CRS) Entity Self-Certification Form 共同匯報標準的客戶聲明書(法人)	✓	✓	✓	✓
<input type="checkbox"/>	32	Common Reporting Standard (CRS) Controlling Person Self-Certification Form (if applicable) 共同匯報標準的控權人聲明書 (如適用)	✓	✓	✓	✓
<input type="checkbox"/>	33	Corporate Professional Investor Declaration (if applicable) 企業專業投資者聲明書 (如適用)	✓	✓	✓	✓
<input type="checkbox"/>	34	Deed of Guarantee (if applicable) 擔保書 (如適用)	✓	✓	✓	✓

FOR OFFICAL USE ONLY 只供內部使用

Licensed person 持牌代表	Documents Reviewed by 文件檢查
Signature 簽署	Signature 簽署
Name 姓名:	Name 姓名:
Date 日期:	Date 日期: