



Corporate Account Opening Checklist

開立公司帳戶文件清單

A.E. Code:	Client Name:	Account No.:
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Required Documents/Information 所需資料/文件		Present	Checker
1	Minutes of the Board of Directors' meeting (Authority to open the account) 董事會會議紀要 (授權開立帳戶)		
2	Certified true copy of Certificate of Incorporation 公司註冊證書之核證副本		
3	Certified true copy of Business Registration Certificate 商業登記證之核證副本		
4	Certified true copy of Memorandum and Articles of Association 公司組織章程大綱之核證副本		
5	Certified true copy of Annual Return (AR1/NAR1) and latest D2A/ND2A/SC1/NSC1/Bought & Sold Note 週年申報表 (AR1/NAR1)及最新之 D2A/ND2A/SC1/NSC1/轉讓文書之核證副本		
6	Certified true copy of The Latest Register of Directors and Members 最近董事及股東名冊之核證副本		
7	Certified true copy of Certificate of Incumbency (within 6 months) (Applicable for Oversea registration companies) 職權證明書之核證副本 (最近六個月) (適用於海外註冊公司)		
8	Certified true copy of The Latest Audited Account or Financial Statements (if applicable) 最近核數師報告或財務報告之核證副本 (如適用)		
9	Hong Kong ID Card(s) or Passport(s) of all Authorized Persons, Directors, Members and Ultimate beneficial owner(s)所有獲授權人、董事、成員、最終擁有人的香港身份證或護照		
10	Proof of residential address (within 3 months) of all Authorized Persons, Directors, Members and Ultimate beneficial owner(s)所有獲授權人、董事、成員、最終擁有人最近三個月內發出的住址證明		
11	Group Structure Chart (if applicable) 股權架構圖 (如適用)		
12	Designated Bank Account 指定銀行戶口賬戶		
13	Other: 其他:		

Account opening forms 本公司之開戶文件		Present	Checker
1	Account opening form (Corporate Account) 帳戶開戶表格(公司帳戶)		
2	Client Risk Assessment Questionnaire 個人客戶風險評估問卷		
3	Self-Certification Form – Entity 自我聲明書-實體(CRS)		
4	Self-Certification Form - Controlling Person (if applicable) 自我聲明書 - 控權人 (CRS) (如適用)		
5	FATCA W-8BENE / W-8IMY		
6	Discretionary Management Agreement (DMA Account) 全權委託開戶書(資產管理戶口)		

Optional Documents 其他文件		Present	Checker
1	Standing Authorization (Client Money) Rules 客戶常設授權《證券及期貨(客戶款項)規則》		
2	Authorization Letter (Margin Account) 客戶授權函表格 (保證金戶口)		
3	Third Party Authorization Letter (DMA Account) 第三者操作賬戶授權書(資產管理戶口)		
4	Standing Authority under Securities and Futures (Client Money) Rules (DMA Account) 《證券及期貨(客戶款項)規則》下的常設授權 (資產管理戶口)		
5	Professional Investor 專業投資者評核表(客戶)		
6	Other: 其他:		

Account No.:	
Client Name:	

Internal Documents 内部文件		Present	Checker
1	Client Account Commission and Terms		
2	AML Risk Assessment Form		
3	Background Search		
Remarks:		Remarks:	
Presented by (Account Executive)		Checked by (Compliance Officer or Responsible Officer)	
X		X	
Name:	Date:	Name:	Date:
Capacity:		Capacity:	