



Account Opening Document Check List
開戶文件檢查清單

Account Name 帳戶名稱 _____ Date 日期 _____
Account No 帳戶號碼 _____

INDIVIDUAL/JOINT ACCOUNT 個人/聯名帳戶	SEC 證券	FUT 期貨
<input type="checkbox"/> Copy of HK Permanent ID/ Passport of each individual / joint account holder; 個人或每位聯名戶口持有人的香港永久身分證/護照副本;	*	*
<input type="checkbox"/> Address Proof (latest THREE months: utilities bill or bank statement, etc.); 住址證明 (最近三個月之電費單, 銀行月結單等);	*	*
<input type="checkbox"/> Financial Status Proof; 財務狀況證明;	*	*
<input type="checkbox"/> Name Card, if any; 名片 (如有);	*	*
<input type="checkbox"/> Employer Consent Letter obtained (if applicable); 同意書 (如適用);	*	*
<input type="checkbox"/> Remarks 備註: _____	*	*
CORPORATE ACCOUNT 公司帳戶 (Certified True Copy 副本認證)	SEC 證券	FUT 期貨
<input type="checkbox"/> Copy of HK Permanent ID/ Passport of principal shareholders/directors/authorized signatories/beneficial owners of the Company; 公司主要股東/董事/獲授權簽署人/實益擁有人的香港永久身分證/護照副本;	*	*
<input type="checkbox"/> Address Proof (latest THREE months: utilities bill or bank statement, etc.); 住址證明 (最近三個月之電費單, 銀行月結單等);	*	*
<input type="checkbox"/> Principal business address proof; 公司主要業務地點地址證明;	*	*
<input type="checkbox"/> Board minutes; 開立戶口的公司董事會會議記錄;	*	*
<input type="checkbox"/> Copy of CI; 公司註冊證書副本;	*	*
<input type="checkbox"/> Copy of BR; 公司商業登記證副本;	*	*
<input type="checkbox"/> Memorandum & Articles of Association; 公司的組織章程大綱及章程細則及其修改決議正本或副本;	*	*
<input type="checkbox"/> Latest Annual Return; 最近之週年申報表;	*	*
<input type="checkbox"/> Latest Audited Financial Statements; 最近之審計後財務報告;	*	*
<input type="checkbox"/> Register of Directors (For Overseas Company); 董事登記冊 (海外註冊公司);	*	*
<input type="checkbox"/> Register of Members (For Overseas Company); 股東登記冊 (海外註冊公司);	*	*
<input type="checkbox"/> Guarantee by Shareholders or Beneficial Owners- specified form; 股東或實益擁有人的擔保書-指定格式;	*	*
<input type="checkbox"/> Remarks 備註: _____	*	*
APPENDIX 附錄	SEC 證券	FUT 期貨
<input type="checkbox"/> CRS - Self-Certification Form; 共同匯報標準 - 自我證明表格;	*	*
<input type="checkbox"/> FATCA Identity Declaration Form; 美國《海外帳戶稅收合規法案》身份聲明表格; (<input type="checkbox"/> Yes, W-8BEN Form; W-8BEN 表格; <input type="checkbox"/> No)	*	*
<input type="checkbox"/> Notice and Acknowledgement of Personal Data (Privacy) Policy 個人資料 (私隱) 條例通知及確認函;	*	*
<input type="checkbox"/> S.I./I.S.I Form (if applicable); 中央結算參與者或投資者交收指示 (如適用);	*	*
<input type="checkbox"/> SSE & SZSE Account Application Form (if applicable); 滬港通及深港通開戶申請表 (如適用);	*	*
<input type="checkbox"/> Client Due Diligence 客戶審核 - Client Vetting and Money Laundering Checklist 客戶審查及打擊洗錢清單 - Credit Review 信用評估 - Know-your-client (KYC) 充分了解你的客戶	*	*
SUPPLEMENT 補充頁	SEC 證券	FUT 期貨
1. Supplementary terms and Conditions and Risk Disclosures of the Client Agreement - SSE and SZSE; 滬港與深港通 - 客戶協議之補充條款及條件和風險披露;	*	*
2. Client Agreement Revision arising from a Change of Code of Conduct by the Securities and Futures Commission; 就證券及期貨事務監察委員會(證監會)修訂<<持牌人或註冊人操守準則>>對<<客戶協議書>>作出之調整;	*	*
3. Securities Commission and Service Charges Schedule (HK Market); 證券佣金及收費 (香港市場);	*	*
4. Securities Commission and Service Charges Schedule (A-Share Market); 證券佣金及收費 (A 股市場);	*	*
5. Futures Commission and Service Charges Schedule (HK Market); 期貨佣金及收費 (香港市場);	*	*

(For Office Use Only)
Acknowledged by:
Approved by:
Input/Check by:
Signature Verified by:

AE Signature 經紀簽署 _____

(For Internal use)