

开户文件清单 (法团) Checklist for Account Opening (Corporate)

填写表格 Complete Forms

1. 开户表格 - 现金帐户 (公司帐户) Account Opening Form (Corporate)
2. 风险承担能力问卷 (法团) Risk Profile Questionnaire (Corporate)
3. 自我证明表格 - 实体 Self Certification (Entity)
4. 自我证明表格 - 控权人 Self Certification (Controlling Person)
5. 常设授权 Standing Authority
6. 专业投资者声明表格 (如适用) PI Declaration (if applicable)

提交公司文件 Submit Company Documents

	香港公司 Company incorporated in HK	国内公司 Company incorporated in PRC	其他地方注册 公司 Company incorporated in other country
公司注册证明书/营业执照复印件* Copy of Certificate of Incorporation*	✓	✓	✓
在职证明书复印件* Copy of Certificate of Incumbency*			✓
商业登记证复印件* Copy of Business Registration Certificate*	✓		
公司组织章程细则复印件* Copy of Memorandum and Articles of Association*	✓	✓	✓
董事名册复印件* Copy of Register of Directors*	✓	✓	✓
股东名册复印件* Copy of Register of Members*	✓	✓	✓
董事会决议授权开户 Board Resolution Authorizing the Account Application	✓	✓	✓
股权架构图 (董事签字确认) Ownership Chart (verified & signed by Director)	✓	✓	✓
授权签字人清单 List of Authorized Signatories	✓	✓	✓
常设交收指示 Standing Settlement Instruction	✓	✓	✓
监管机构发出的牌照证明或注册记录复印件* Copy of licence or registration record issued by regulatory authority*	✓	✓	✓



股東，董事，授權人，實際擁有人身份證明文件复印件* Copy of Identification Document of Shareholder(s), Director(s), Authorized Person(s) and Ultimate Beneficial Owner(s)*	✓	✓	✓
股東，董事，授權人，實際擁有人地址證明文件复印件* Copy of Address Proof of Shareholder(s), Director(s), Authorized Person(s) and Ultimate Beneficial Owner(s)*	✓	✓	✓
資產證明（如經審計財務報告，銀行月結單等等） Proof of assets (ie audited financial reports, bank statement)	✓	✓	✓

*复印件必须由持牌或註冊人士、太平紳士或專業人士（如：執業會計師、律師或公證人等等）核證

*Copy document must be certified by licensed or registered person, Justice of the Peace or professional person (such as practicing certified public accountant, lawyer or notary public etc.)

以上文件清單只供參考。除以上所列之文件外，如金信期盈證券(香港)有限公司認為有需要或合適時，可要求客戶提供進一步資料及文件。

The above checklist is for reference only. The Company may require client to provide further information and documents if necessary.