

Documents Checklist for Account Opening 開戶文件清單

Required Document 所需文件	Individual or Joint Account 個人/聯名帳戶	Hong Kong Incorporated Corporate Account 香港註冊公司	Overseas Incorporated Corporate Account 海外註冊公司	Professional Investor Account (Individual) 專業投資者帳 戶(個人)	Professional Investor Account (Corporate) 專業投資者 帳戶(公司)	Institutional Professional Investor Account(P.I.A) 機構專業投資 者帳戶(P.I.A.)
	Must Provide 必須提供	Must Provide 必須提供	Must Provide 必須提供	Must Provide 必須提供	Must Provide 必須提供	Must Provide 必須提供
Client Information Form 客戶資料表格	✓	✓	✓	✓	✓	✓
W-8BEN / (W-9 where applicable) for US Foreign Account Tax Compliance Act ("FATCA") 美國外國帳戶稅務合規法案 W- 8BEN / (W-9 如適用)	✓			✓		
Self-Certification Form – Individual (CRS) 自我證明表格-個人	✓			✓		
Consent Letter on Northbound China Stock Connect Orders 中華通北向交易委託(投資者識 別碼模式)及個人資料收集聲明 客戶同意書	if applicable 如適用	if applicable 如適用	if applicable 如適用	if applicable 如適用	if applicable 如適用	if applicable 如適用
Certified true copies of Identity Card / Passport copy of all account holders 所有帳戶持有人的身份證/護照 副本之核證副本 <small>Notes 註解 1</small>	✓			✓		
Resident address proof of recent 3 months such as utility bill, tax return or bank statement etc. 最近三個月的住址證明, 如公 用服務單據、稅單或銀行結單 等 <small>Notes 註解 2</small>	✓			✓		
Unlimited Continuing Guarantee 無限額持續性保證書		✓	✓		✓	
Self-Certification Form – Entity (CRS) 自我證明表格-實體		✓	✓		✓	✓
Self-Certification Form – Controlling Person for each of the controlling person (CRS) 自我證明表格-控權人, 每名控 權人須提供一份		✓	✓		✓	
W-8BENE For U.S. Foreign Account Tax Compliance ("FATCA") 美國外國帳戶稅務合規法案 W-8BENE		✓	✓		✓	
Certified true copy of Register of Members and Register of Directors 董事名單及股東名單之核證副 本		✓	✓		✓	✓

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Certified true copies of Business Registration Certificate 商業登記證之核證副本		✓	if applicable 如適用		✓	✓
Certified true copies of Certificate of Incorporation (or other evidence of due incorporation) 公司註冊證書(或其他有效的註 冊證明)之核證副本		✓	✓		✓	✓
Certified true copies of Board Resolution authorizing the opening of securities accounts, execution of the account opening documents, and specifying authorized personnel(s) to sign documents or place order on behalf of the company with relevant specimen signature. 董事會決議，授權開設證券戶 口、執行開戶文件，及指定授權 人士代表公司簽署文件或發出 交易指令，及相關之簽署式樣 之核證副本 <small>Notes 4</small>		✓	✓		✓	✓
Certified true copies of Ownership structure chart showing details of the ownership and structure control of the corporation 公司擁有權及控制權架構詳情 的擁有權架構圖之核證副本		✓	✓		✓	✓
Certified true copies of Memorandum & Articles of Association (or other constitutional documents) 組織章程大綱及章程細則(或其 他憲章性文件)之核證副本		✓	✓		✓	✓
Certified true copies of latest financial statements, if any 如有，最近的財政報告之核證 副本		✓	✓		✓	
Certified true copies of latest statutory records filed with Company Registry (e.g. copy of Annual Return) 最近曾於公司註冊處紀錄的法 定存檔(例如：周年申報表)之核 證副本		✓			✓	

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Certified true Copies of ID/ Passport of the followings: 1) Director 2) Authorized Person(s) 3) Authorized Trader 4)Ultimate originator(s) of all transaction 5) Guarantor 6) Principal Beneficial Owners (holds more than 25% or more ultimate beneficial interest of the client) 下列人士身份證或護照之核證照 副本: 1) 董事 2) 一般授權簽字人士 3) 交易授權人士 4) 帳戶最終 交易指示發出者 5)擔保人 6) 最終主要實益持有人(擁有多於 百分之二十五或以上公司最終權 益) Notes 註解 1		✓	✓		✓	
Residential address proof of the followings: 1) Two Directors 2) Two Authorized Traders or Authorized Signatories 3) All ultimate principal beneficial owners (holds 10% or more ultimate beneficial interest of the client) 下列人士 的住宅地址證明 (最近三個月之內發出): 1) 兩位董事 2) 兩位交易獲授 權人或獲授權簽署人士 3) 所有 最終主要實益持有人 (擁有百分 之十或以上公司最終權益) Notes 註 解 2		✓	✓		✓	
Certified true copies of ID or passport for the authorities persons or Letter issued by the client's independent department such as human resources, audit or compliance confirming the identities and authorities of the persons to sign account documents and perform actions stated in the authorized signatory list 授權人的身份證或護照之核證 副本或客戶之獨立部門(例如人力資 源、審計或法規部門)發出之信件, 確認簽署戶口文件及戶口運作之授 權簽署人之身份及行事許可權 授權人的身份證或護照之核證副本或客 戶之獨立部門(例如人力資源、審計 或法規部門)發出之信件, 確認簽署 戶口文件及戶口運作之授權簽署人 之身份及行事許可權						✓

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List of Authorized Signatories and Authorized Traders with Specimen Signature 授權簽署人員及授權交易人員的名字及簽署式樣						✓
Client Identity Disclosure Undertaking 客戶身份披露承諾書						✓
Assessment of Client Institution's Anti-Money Laundering and Counter-Terrorist Controls (for overseas financial institutions and funds) 機構客戶防止洗錢及恐怖份子資金籌集控制評估(海外金融機構及基金適用)						✓
W-8IMY For U.S. Foreign Account Tax Compliance ("FATCA") 美國外國帳戶稅務合規法案 W-8IMY						✓
Standing Settlement Instruction 常設交收指示						✓
Address proof of principal business office or place of business of recent 3 months, if any 如有, 最近三個月的主要辦事處或商業地址的地址證明		✓	✓		✓	✓
Application form for being treated as Professional Investor (provide asset proof is need) 申請被視作為專業投資者表格 (需提供資產證明)				✓	✓	
The following supporting documents must be Certified by third party professional (e.g. Licensed or Registered person, Lawyer, accountant): Register of director(s) & member(s) or Certificate of Incumbency / Good Standing 以下核證文件須由第三方專業人士(如持牌人或註冊人, 律師、會計師)簽署: 股東及董事名冊及董事在職證明 / 良好記錄證書(須在過去 6 個月內簽發)以下核證文件須由第三方專業人士(如持牌人或註冊人, 律師、會計師)簽署: 股東及董事名冊及董事在職證明 / 良好記錄證書(須在過去 6 個月內簽發)			✓			

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Acknowledgement for Investment in Taiwan Securities, Declaration for Taiwan Securities Trading and Risk Disclosure Statement and General Authorization Agreement for Day Trades of Securities 投資台灣證券確認函、買賣台灣證券客戶聲明及有價證券當日沖銷交易風險預告書暨概括授權同意書	if applicable 如適用	if applicable 如適用	if applicable 如適用	if applicable 如適用	if applicable 如適用	if applicable 如適用
Standing Authority (Client Money) 常設授權(客戶款項)	if applicable 如適用	if applicable 如適用	if applicable 如適用	if applicable 如適用	if applicable 如適用	

Notes 註解

- For non-permanent residents or non-residents: Certified true copy of the valid ID card / passport (should include the nationality) 非永久性居民或非香港居民: 有效核證之身份證或護照副本(必須包括國籍)
- P.O. Box and Business card will NOT be accepted as address proof 郵政信箱及客戶之個人名片恕不接納
- Major shareholder is defined as parties or individuals that hold the ultimate beneficial interest, or holding more than 25% or more voting rights of the company. 主要股東定義為持有有關公司最終權益之人士 / 持有有關公司多於 25% 或以上投票權之人士。
- Board resolutions or minutes of meeting confirming the account type (cash or margin), authorizing the execution of the Terms and Conditions for Securities Trading of ELS and / or the Terms and Conditions for Futures and Options Trading of ELFL, Customer Information Statement and specifying authorized personnel(s) to sign documents or place order on behalf of the company with relevant signatures specimen. 董事會決議或會議紀錄需詳列開設之戶口種類 (現金或孖展)、授權簽署長雄證券的證券買賣條款及 / 或長雄期貨的期貨及期權買賣條款及客戶資料表格、指定戶口運作人、可簽署人士及相關之簽署式樣。
- Certification is only effective when it is signed off by third party professional (e.g. Licensed or Registered person, Lawyer, accountant). 核證須由第三方專業人士(如持牌人或註冊人、律師、會計師)簽署, 方為有效。
- The Company may, as the case may be, require additional documentation or refuse to open an account. 本公司或會視具體情況要求額外文件或拒絕開戶。