

## 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注册人士、太平绅士或专业人士（如：执业会计师、律师或公证人等等）核证

\*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.)

以上文件清单只供参考。除以上所列之文件外，如维港証券国际有限公司认为有需要或合适时，可要求客户提供进一步资料及文件。

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