

Document Check List 文件清單 (Corporate Account 公司戶口)

Client Name 客戶姓名: _____ Account No 帳戶號碼: _____

Copies of the submitted documents set out below must be certified as a true copy by certified public accountant (CPA), lawyer, company secretary or notary public. 所有提交司的文件副本須經由執業會計師、執業律師、公司秘書或註冊公證人認證為真確的副本。

	Corporate Account Opening Document Checklist 公司開戶文件清單		Short Name 簡稱	HK Company 香港公司		Overseas company 海外公司
				SFC Licensed Corp 證監會法團	Non-licensed 非持牌	
<input type="checkbox"/>	董事會決議摘要之核證副本 Certified true copy of extracts of Board Resolution	註明開戶, 開那一種戶口. 另外, 獲授權交易人士及簽署人名單	Board Resolution	✓	✓	✓
<input type="checkbox"/>	董事及授權簽署人之身份證或護照之核證副本 Certified true copy of Identity Card or Passport of Director(s) and authorized signatory(ies)		I.D. Copies	✓	✓	✓
<input type="checkbox"/>	所有董事及授權簽署人之住址證明核證副本 Certified true copy of address proof of Director(s) and authorized signatory(ies)	各張表格與提供的地址證明是否一致	Address Proof		✓	✓
<input type="checkbox"/>	董事名單及股東名單之核證副本 Certified true copy of Register of Members and Register of Directors	與開戶書填寫是否一致	R.O.M & R.O.D			✓
<input type="checkbox"/>	公司註冊證書之核證副本 Certified true copy of Certificate of Incorporation		C.I.	✓	✓	✓
<input type="checkbox"/>	組織章程大綱及細則之核證副本 Certified true copy of Memorandum and Articles of Association		M&A	✓	✓	✓
<input type="checkbox"/>	董事在職證明之核證副本 (在過去 6 個月內簽發) Certified true copy of Certificate of Incumbency (issued within last 6 months)		Incumbency			✓
<input type="checkbox"/>	商業登記證之核證副本 Certified true copy of Business Registration Certificate		B.R.	✓	✓	

<input type="checkbox"/>	最近的公司週年申報表之核證副本 Certified true copy of Latest Annual Return		Annual Return	✓ 可網上查核	✓ 可網上查核	
<input type="checkbox"/>	標準交收指示(如適用) Standard Settlement Instruction(if applicable)		S.S.I.	✓	如適用	如適用
<input type="checkbox"/>	由董事簽署的公司組織圖/基金結構圖 (如適用) Company Group Chart or Fund Structure (Signed by Director) (if applicable)		Group Chart/ Fund Structure	✓	✓	✓
<input type="checkbox"/>	基金協議 (適用於基金) Fund Agreement (applicable to Fund)		Fund Agreement	視情況	視情況	視情況

Prevention of Money Laundering and Terrorist Financing Policy and Procedures 打擊洗錢及恐怖分子資金籌集

Industry 行業			
Registered Location 公司註冊地			
Business Address 營業地址			
Sanctions list checking 恐怖分子 / 聯合國制裁名單	Completed and No Findings 已完成及沒發現	<input type="checkbox"/>	
Regulator Search 監管機構查核	Completed and No Findings 已完成及沒發現	<input type="checkbox"/>	
Final Risk Category 風險分類	<input type="checkbox"/> 低	<input type="checkbox"/> 中	<input type="checkbox"/> 高

For Office Use Only 內部填寫:

Prepared By:	Reviewed By:	Approved By: