

ACCOUNT OPENING DOCUMENT CHECKLIST – CORPORATE ACCOUNT (PROFESSIONAL INVESTOR)

開戶文件核對清單 — 公司賬戶（專業投資者）

To serve you with maximum efficiency, please refer to the following checklist to open account(s) at Hermes Securities Limited (“HSL”):-
為了更便捷地服務客戶，請參考下列核對清單以作於凱敏證券有限公司（「凱敏證券」）開立賬戶之用：-

Company incorporated in Hong Kong 香港成立公司	Company incorporated in Overseas 海外成立公司	Required documents 所需文件
<input type="checkbox"/>	<input type="checkbox"/>	Account Opening Form (Corporate Account) 開戶表格 (公司賬戶)
<input type="checkbox"/>	<input type="checkbox"/>	Entity Self-Certification Form 實體自我證明表格
<input type="checkbox"/>	<input type="checkbox"/>	Form W-8BEN-E 表格 W-8BEN-E
<input type="checkbox"/>	<input type="checkbox"/>	Letter of Personal Guarantee (for Margin Account Only) 個人擔保書 (僅適用於融資賬戶)
<input type="checkbox"/>	<input type="checkbox"/>	Client Risk Profiling Questionnaire – Investment Products (for Corporate Account) 投資產品 – 風險承受能力問卷 (公司賬戶適用)
<input type="checkbox"/>	<input type="checkbox"/>	Individual/Corporate Professional Investor Assessment Form 個人/法團專業投資者評估表格
<input type="checkbox"/>	<input type="checkbox"/>	Asset Proof (refer to the Individual/Corporate Professional Investor Assessment Form) 資產證明(詳見個人/法團專業投資者評估表格)
<input type="checkbox"/>	<input type="checkbox"/>	Board Minutes/Resolution that specifies (1) that the Company wishes to open account at HSL; and (2) the List of Authorized Signatories 董事會會議記錄/決議註明 (1) 該公司希望於凱敏證券開立賬戶; 及 (2) 授權人仕式樣清單
<input type="checkbox"/>	<input type="checkbox"/>	Ownership Structure Chart signed by Director specifying (1) all Intermediate Owners, (2) Ultimate Beneficial Owners, (3) Registration Number of all Entities in the Chart, (4) Country of Incorporation of all Entities in the Chart and (5) % of Shareholding 由董事簽署的公司架構圖列明 (1) 所有中介控股公司、(2) 最終實益擁有人、(3) 所有實體的註冊編號、(4) 所有實體的註冊國家及 (5) 持股百分比
<input type="checkbox"/>	<input type="checkbox"/>	Certificate of Incorporation 公司註冊證明書
<input type="checkbox"/>	<input type="checkbox"/>	Memorandum & Articles of Association 公司組織章程大綱及細則
<input type="checkbox"/>	<input type="checkbox"/>	Address proof of Registered Address and Business Address issued within the last 3 months 註冊地址和業務地址證明 (最近 3 個月內發出)
<input type="checkbox"/>	<input type="checkbox"/>	Latest Business Registration Certificate 最新的商業登記證
<input type="checkbox"/>	<input type="checkbox"/>	Latest Annual Return (Form NAR1); and 最新的周年申報表 (表格 NAR1); 及 Notice of Change of Company Secretary and Director (Appointment/Cessation) (Form ND2A), if applicable 更改公司秘書及董事通知書 (委任/停任) (表格 ND2A) (如適用)
<input type="checkbox"/>	<input type="checkbox"/>	Register of Members 股東名冊
<input type="checkbox"/>	<input type="checkbox"/>	Register of Director 董事名冊
<input type="checkbox"/>	<input type="checkbox"/>	Certificate of Incumbency issued within the past 6 months 職權證明書 (最近 6 個月內發出)
<input type="checkbox"/>	<input type="checkbox"/>	Identity Card AND Passport of (a) ALL Authorized Persons, (b) ALL Directors, (c) Shareholders with no less than 25% of ultimate shareholdings, and (d) the Guarantor (a) 所有獲授權人士、(b) 所有董事、(c) 直接或間接擁有不少於 25% 股權的股東、及 (d) 擔保人之身分證 及 護照 * Hong Kong Permanent Residents are only required to provide HKID card 香港永久性居民只需要提供香港身分證
<input type="checkbox"/>	<input type="checkbox"/>	Residential Address Proof of (a) ALL Authorized Persons, (b) ALL Directors, (c) Shareholders with no less than 25% of ultimate shareholdings, and (d) the Guarantor issued within the last 3 months (a) 所有獲授權人士、(b) 所有董事、(c) 直接或間接擁有不少於 25% 股權的股東、及 (d) 擔保人之居住地址證明 (最近 3 個月內發出)

Remarks 備註:

- The checklist is for reference purposes. Apart from the documents listed above, HSL reserves the right to request additional supporting documents at any time.
以上清單只供參考。除以上所列之文件外，凱敏證券保留於任何時間要求客戶提供額外證明文件的權利。
- The document copies shall be certified as true copies of the originals by a suitable certifier, such as a certified public accountant (practising), a lawyer, a notary public, a chartered secretary, or any HSL's licensed representative.
有關文件必須經由適合的證明人簽證有關文件的副本為該正本的真確及完整之真確副本。適合的證明人包括執業會計師、律師、公證人、特許秘書或凱敏證券的持牌代表。