

ACCOUNT OPENING DOCUMENT CHECKLIST – CORPORATE ACCOUNT
(INSTITUTIONAL PROFESSIONAL INVESTOR)

開戶文件核對清單 — 公司賬戶 (機構專業投資者)

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 (Institutional Professional Investor) 開戶表格 (機構專業投資者)
<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 for House Account and/or Form W-8IMY for Clients' Account 表格 W-8BEN-E (作為機構或公司) 及/或表格 W-8IMY (作為中介人)
<input type="checkbox"/>	<input type="checkbox"/>	Anti-Money Laundering Questionnaire 反洗錢問卷
<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"/>	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) at least 2 Directors (a) 所有獲授權人士、(b) 至少 2 名董事、之身分證 及 護照
<input type="checkbox"/>	<input type="checkbox"/>	Standing Settlement Instruction, if applicable 常設交收指示 (如適用)

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之完整及真確副本。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。