

ACCOUNT OPENING DOCUMENT CHECKLIST – INDIVIDUAL/JOINT ACCOUNT
(PROFESSIONAL INVESTOR)

開戶文件核對清單 – 個人/聯名賬戶 (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:-

Individual/Primary Joint Account Holder 個人/聯名賬戶主要 持有人	Secondary Joint Account Holder 聯名賬戶第二持有人	Required documents 所需文件
<input type="checkbox"/>		Account Opening Form (Individual/Joint Account) 開戶表格 (個人/聯名賬戶)
<input type="checkbox"/>	<input type="checkbox"/>	Form W-8BEN 表格 W-8BEN
<input type="checkbox"/>		Client Risk Profiling Questionnaire (Applicable to Individual/Joint Account Only) 客戶風險取向問卷 (僅適用於個人/聯名賬戶)
<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"/>	Hong Kong Permanent Resident: Identity Card 香港永久居民:身份證 Resident of Other Jurisdictions: Identity Card AND Passport 其他地方的居民:身份證 及 護照
<input type="checkbox"/>	<input type="checkbox"/>	Residential Address Proof (issued within the last 3 months) 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。