

Account Opening Document Checklist – Individual Account

開戶文件核對清單 – 個人帳戶

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」）開立帳戶之用：

Account Holder 帳戶持有人	Required documents 所需文件
<input type="checkbox"/>	Customer Information Form (Individual/Joint Account) 客戶資料表 (個人/聯名帳戶)
<input type="checkbox"/>	Uniform Cash Client’s Agreement in Plain Language 淺白語言統一現金客戶協議書
<input type="checkbox"/>	HKIDR Confirmation 香港投資者識別碼確認函件
<input type="checkbox"/>	Form W-8BEN 表格 W-8BEN
<input type="checkbox"/>	Declaration – Non-US Status 聲明 – 非美國身份
<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"/>	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 solicitor, a certified public accountant (practising), 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為該正本的完整及真確副本。適合的證明人包括律師、執業會計師、公證人、特許秘書或凱敏證券的持牌代表。

Account Opening Document Checklist – Individual Account (Professional Investor)

開戶文件核對清單 – 個人帳戶 (專業投資者)

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Account Holder 帳戶持有人	Required documents 所需文件
<input type="checkbox"/>	Professional Investor (PI) Customer Information Form (Individual/Joint Account) 專業投資者客戶資料表 (個人/聯名帳戶)
<input type="checkbox"/>	Uniform Cash Client's Agreement in Plain Language 淺白語言統一現金客戶協議書
<input type="checkbox"/>	HKIDR Confirmation 香港投資者識別碼確認函件
<input type="checkbox"/>	Form W-8BEN 表格 W-8BEN
<input type="checkbox"/>	Investment Risk Assessment Questionnaire (Applicable to Individual/Joint Account) 投資風險取向評估問卷 (僅適用於個人/聯名帳戶)
<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"/>	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"/>	Hong Kong Permanent Resident: Identity Card 香港永久居民:身份證 Resident of Other Jurisdictions: Identity Card <u>AND</u> Passport 其他地方的居民:身份證 <u>及</u> 護照
<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。
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有關文件必須經由適合的證明人簽證為該正本之完整及真確副本。適合的證明人包括律師、執業會計師、公證人、特許秘書或凱敏證券的持牌代表。

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