

個人/聯名戶 (客戶年滿 18 歲) Individual /Joint Account (Client aged 18 or above)

個人/聯名戶所需表格 Forms required for Individual /Joint Account:

1. 開戶資料表格 Account Opening Form
2. 風險披露聲明 Risk Disclosure Statements
3. W-8BEN 表格 Form W-8BEN
4. 個人稅務居民自我證明表格 CRS-I Individual Tax Residency Self-Certification Form CRS-I
5. 中華通北向交易委託 (投資者識別碼模式) 及個人資料收集聲明客戶同意書
Northbound China Stock Connect Orders and the Personal Information Collection Statement Consent Letter

個人/聯名戶所需文件 Documentation required for Individual /Joint Account:

1. 帳戶持有人的香港身份證或護照 ID or Passport copy of account holder
2. 地址證明(最近三個月內發出), 銀行月結單、水費單、電費單, 如客戶的當前住址為身份證明文件上的住址一致則無需提供 Residential Address proof (issued within 3 months), e.g. Bank Statement or utility bills. Not required if the residential address same as the registry address on the ID
 - ▶ 65 歲或以上客戶風險披露聲明書 Aged 65 or above Client Declaration Form
 - ▶ 中華人民共和國居民身份證 (適用於內地人) ID of The People Republic of China (Applicable for Mainland people)
 - ▶ 往來港澳通行證 (適用於內地人) Valid Exit-Entry Permit (EEP) to Hong Kong / Macau (Applicable for Mainland people)
 - ▶ 出入境紀錄 (適用於內地人) Immigration Records (Applicable for Mainland people)

公司戶 Corporate Account

公司戶所需表格 Forms required for Corporate Account:

1. 開戶資料表格 Account Opening Form
2. 風險披露聲明 Risk Disclosure Statements
3. 實體稅務居民自我證明表格 Entity Tax Residency Self-Certification Form
4. W-8BEN-E 表格 (金融機構除外) Form W-8BEN-E (other than Financial Institutions)
 - ▶ 風險承受能力問卷(適用於買賣債券或基金) Risk Profile Questionnaire (Applicable for trading on Bond or Funds)
 - ▶ W-8IMY 表格 (適用於金融機構) Form W-8IMY (Applicable for Financial Institutions)
 - ▶ 控權人稅務居民自我證明表格 (適用於實體賬戶持有人是被动非財務實體) Controlling Person Tax Residency Self-Certification Form (Applicable for the entity account holder is a passive NFE)

公司戶所需文件 Documentation required for Corporate Account:

1. 公司註冊證書 Certificate of Incorporation
2. 公司章程大綱及細則 Memorandum and Article of Association
3. 商業登記牌照 Certificate of Business Registration
4. 最近之周年報表及其後向香港公司註冊署提交的表格 Latest Annual Return and subsequent form(s) filed with the Hong Kong Companies Registry
5. 所有董事及獲授權人之身份證、護照或公司註冊證書副本 ID, passport or Certificate of Incorporation copy of all Directors and Authorized Signatories

6. 戶口最終受益擁有人（持有 10%或以上的股份）的身份證、護照或公司註冊證書副本 ID, Passport or Certificate of Incorporation copy of Ultimate Beneficiaries (Shareholding with 10% or more)
7. 董事會決議之核證申請開立戶口、委任授權人士運作戶口及授權簽名式樣 Board Resolutions in relation to the account opening, the authorized person list and authorized signatory list of all directors and authorized persons
8. 辦公室或通訊地址證明(最近三個月內發出) Office or Correspondence address proof (issued within 3 months)
9. 公司銀行帳戶證明(最近三個月內發出) Company Bank Reference (issued within 3 months)
 - ▶ 最近期之財政報告(如適用) Latest Financial Statements (If applicable)
 - ▶ 擔保書 Original Guarantee Letter
 - ▶ 擔保人之身份證、護照或公司註冊證書副本ID, Passport or Certificate of Incorporation copy of Guarantor
 - ▶ 擔保人之地址證明(最近三個月內發出) Residential Address proof (issued within 3 months)

開曼群島、英屬處女群島及其他香港境外公司需附加以下文件 Cayman Islands, British Virgin Islands and oversea company should provide the following additional documents :

1. 董事記錄 Register of Directors
2. 股東記錄 Register of Members
3. 職權證明書 Certificate of Incumbency
- ▶ 公司迄今仍註冊書(最近六個月內發出) - 如公司成立超過十二個月 Certificate of Good Standing (issued within 6 months) - Applicable for company established over 12 months

專業投資者需附加以下文件 Professional Investor should provide the following additional documents :

1. 專業投資者(B類)評核表 Professional Investor (Category B) Assessment Form
2. 客戶投資風險取向問卷 Client Risk Profile Scoring Guideline

*在開設帳戶前，請參閱相關的客戶協議書。Please read the Client Master Agreement before account opening.

*請附上上述文件的經核證副本，核證需要由證監會持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士、銀行分行經理或專業人士例如執業會計師、律師或公證人（統稱為“驗證人士”）親身進行，及在開戶表格見證人一欄加簽。Please attach certified true copies of the above documents. Certified true copies should be provided by a licensed / registered person with the SFC, a Justice of Peace, a branch manager of a bank or a professional person such as a certified public accountant, lawyer or notary public (collectively “Certifying Persons”) and countersign the Witness part in the account opening form.

注意 Attention :

除非得到特別審批，不接受以下人士 / 公司開設帳戶 The following persons/ entity not acceptable, unless with special approval.

1. 美國公民或居民 U.S. citizen or resident
2. 未取得全球中介機構識別碼的金融機構 Financial Institution which do not obtain a Global Intermediary Identification Number (GIIN)
3. 於美國註冊成立 或 有美國人持有的機構 U.S. entity or any entity with U.S. owner

▶ 如適用 If applicable