

# 聚富證券有限公司

## Riches Depot Securities Co., Limited

### Documents Checklist for Account Opening 開戶文件清單

Corporate Account 公司帳戶	
<p><u>Documents should be provided to client for their duly completed and signed</u></p> <p><input type="checkbox"/> Account Opening Form (Corporate Account)</p> <p><input type="checkbox"/> Client Risk Profiling Questionnaire (Corporate Account)</p> <p><input type="checkbox"/> Self-Certification Form (Entity &amp; Controlling Person)</p>	<p>須提供予客戶填寫及簽署的文件</p> <p><input type="checkbox"/> 開戶表格 (公司客戶)</p> <p><input type="checkbox"/> 風險承受能力問卷 (公司客戶)</p> <p><input type="checkbox"/> 自我證明表格 (實體 &amp; 控權人)</p>
<p><u>Supporting documents to be provided by client</u></p> <p><input type="checkbox"/> Board minutes in approving the account opening and conferring authority</p> <p><input type="checkbox"/> Address proof of principal business office or place of business of recent 3 months</p> <p><input type="checkbox"/> Recent 3 months residential address proof of the guarantor, such as utility bill, tax return or bank statement etc.</p> <p><input type="checkbox"/> ID Copy of Identity Card / Passport</p> <p style="margin-left: 20px;">1) Director(s) &amp; Shareholder(s)</p> <p style="margin-left: 20px;">2) Ultimate beneficial owner(s)</p> <p style="margin-left: 20px;">3) Representative(s) authorized to give dealing instructions</p> <p><input type="checkbox"/> Copy of Residential Address</p> <p style="margin-left: 20px;">1) Director(s) &amp; Shareholder(s)</p> <p style="margin-left: 20px;">2) Ultimate beneficial owner(s)</p> <p style="margin-left: 20px;">3) Representative(s) authorized to give dealing instructions</p> <p><input type="checkbox"/> Latest financial statements, if any</p>	<p>客戶須提交的證明文件</p> <p><input type="checkbox"/> 批准公司開立帳戶及賦予權限的會議記錄</p> <p><input type="checkbox"/> 最近三個月的主要辦事處或商業地址的地址證明</p> <p><input type="checkbox"/> 保證人最近三個月之住址證明 如公用服務單據、稅單或銀行結單等</p> <p><input type="checkbox"/> 下列人士之身份證/護照副本</p> <p style="margin-left: 20px;">1) 董事 &amp; 股東</p> <p style="margin-left: 20px;">2) 實益擁有人</p> <p style="margin-left: 20px;">3) 獲授權給予買賣指示之人士</p> <p><input type="checkbox"/> 下列人士之地址證明副本</p> <p style="margin-left: 20px;">1) 董事 &amp; 股東</p> <p style="margin-left: 20px;">2) 實益擁有人</p> <p style="margin-left: 20px;">3) 獲授權給予買賣指示之人士</p> <p><input type="checkbox"/> 如有，最近的財政報告</p>
<p><u>Additional supporting documents to be provided by Hong Kong Company</u></p> <p><input type="checkbox"/> Certificate of Incorporation</p> <p><input type="checkbox"/> Business Registration Certificate</p> <p><input type="checkbox"/> Memorandum &amp; Articles of Association (or other constitutional documents)</p> <p><input type="checkbox"/> Latest statutory records filed with Company Registry (e.g. copy of Annual Return)</p>	<p>香港成立公司須額外提供的證明文件</p> <p><input type="checkbox"/> CI-公司註冊證書</p> <p><input type="checkbox"/> BR-商業登記證明</p> <p><input type="checkbox"/> M&amp;A-組織章程大綱及章程細則(或其他憲章性文件)</p> <p><input type="checkbox"/> 最近曾於公司註冊處紀錄的法定存檔 (例如：周年申報表)</p>
<p><u>Additional supporting documents to be provided by Offshore Company (e.g. BVI)</u></p> <p><input type="checkbox"/> Certificate of Incorporation</p> <p><input type="checkbox"/> Register of director(s) &amp; member(s)</p> <p><input type="checkbox"/> Certificate of Incumbency/Good Standing</p> <p><input type="checkbox"/> Memorandum &amp; Articles of Association (or other constitutional documents)</p>	<p>海外成立公司(例如 BVI) 須額外提供的證明文件</p> <p><input type="checkbox"/> CI-公司註冊證書</p> <p><input type="checkbox"/> 董事及股東名單紀錄</p> <p><input type="checkbox"/> 職權證明書或良好聲譽證明</p> <p><input type="checkbox"/> 組織章程大綱及章程細則(或其他憲章性文件)</p>

All copies should be certified by the corporate director(s)/ certified public accountant(s)/ solicitor(s)  
所有副本需經由公司董事或註冊會計師/律師簽名驗證之副本