

Corporate Account Opening Checklist and Guideline 公司賬戶開戶清單及指引

Required Documents 所需文件	HK Incorporated 香港註冊	Overseas Incorporated 海外註冊
	Must Provide 必須提供	Must Provide 必須提供
Account Opening Form (including Signature Page & Client Information Statement) 賬戶開立表格 (包括 簽字頁及客戶資料表)	✓	✓
Certified Copy of Resolutions 董事會議決驗證副本	✓	✓
Copies of ID/ Passport of the followings: 1) Directors 2) Authorized Persons 3) Authorized Signatories 4) ultimate principal beneficial owners (holds 10% or more ultimate beneficial interest of the client) 下列人士身份證副本或護照副本: 1) 董事 2) 獲授權人 3) 獲授權簽署人士 4) 最終主要實益持有人 (擁有百分之十或以上公司最終權益)	✓	✓
Residential address proof of the followings: 1) Two Directors 2) Two Authorized Persons or Authorized Signatories 3) All ultimate principal beneficial owners (holds 10% or more ultimate beneficial interest of the client) 下列人士的住宅地址證明 (最近三個月之內發出): 1) 兩位董事 2) 兩位獲授權人或獲授權簽署人士 3) 所有最終主要實益持有人 (擁有百分之十或以上公司最終權益)	✓	✓
Certificate of Incorporation and subsequent Certificate of Change of Name (if applicable) 公司註冊證書及其後的公司更改名稱證書 (如適用)	✓	✓
Guarantee 擔保書	✓	✓
Memorandum & Articles of Association 公司章程或規則	✓	✓
Address Proof 公司地址證明	✓	✓
Register of Director 董事記錄		✓
Register of Member 股東記錄		✓
Certificate of Incumbency (issued within the past 6 months) 職權證明書 (最近六個月之內發出)		✓
Latest Annual Return, and subsequent Notification of Change of Secretary and Director (Appointment/Cessation) (Form D2A/ND2A), Return of Allotments (Form SC1/NSC1) and/or Instrument of Transfer (if applicable) 最近之週年申報表, 所有其後的秘書及董事更改通知書 (委任/離任) (表格 D2A/ND2A), 及股份分配申報表 (表格 SC1/NSC1) 及/或轉讓文書詳列現任股東的資料 (如適用)	✓	
Valid Business Registration Certificate 有效的商業登記證	✓	
Designated Hong Kong Bank Account 指定香港銀行賬戶	✓	✓
Common Reporting Standard (CRS) and US FATCA Documents: Applicable Self-Certification Form and/ or IRS W form to establish the tax status under CRS and FATCA 共同匯報標準 (CRS) 及美國外國賬戶稅務合規法案 (FATCA) 文件: 適用的自行證明書及/ 或 IRS W 表格, 以確定貴公司在共同匯報標準及外國賬戶稅務合規法案 (FATCA) 下的稅務身份	✓	✓

Notes to the Corporate Account Opening Checklist 公司賬戶開戶清單附註:

- Copies of those documents set out above MUST be certified as a true copy by a certified public accountant (practising), lawyer notary public in a Financial Action Task Force (FATF) member/ comparable jurisdiction acceptable to Haitong International or a current member of Hong Kong Institute of Chartered Secretaries. The Certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position or capacity on it. The certifier must state that it is a true copy of the original (or words to similar effect).
以上副本文件須經由本公司認可的打擊清洗黑錢財務行動特別組織成員或相應國家執業的會計師、律師、公證人或香港特許秘書公會的現行會員核證為無誤的副本。證明人必須在文件的複本上簽署並寫上日期 (在下方以大楷清楚列示其姓名), 並於當中清楚註明其職位或身分。證明人必須說明該複本文件為正本文件的真確複本 (或具類似效力的字詞)。
- Account opening documents must be executed by the authorized persons stated in the relevant board resolution.
開戶文件必須由獲授權人根據會議紀錄指示簽署。
- Unless the client provides all the requested documents, otherwise the application for account opening will not be entertained.
除非客戶提供所有要求文件, 否則開戶申請將不被受理。