

## CHECKLIST FOR ACCOUNT OPENING 開戶文件核對清單

戶口號碼 A/C NO.: \_\_\_\_\_ 姓名 Name: \_\_\_\_\_

戶口種類 Type of ACC.:     個人 Individual                       聯名 Joint                       公司 Corporate

證券 (  現金 Cash                       保證金 Margin )

網上 By Internet                       新戶 New A/C

增加戶口 Add A/C

### FOR INDIVIDUAL 個人客戶 / JOINT CLIENTS 聯名客戶

\*所有證明文件須為認證副本 Certified True Copies of:

- 港澳居民： 香港/澳門身份証 ID Copy     最近三個月內有效住址證明一張 Residential Address Proof (Recent 3mth)
- 內地居民： 中國身份証 PRC ID Copy     通行証 或 護照 Travel Doc./ Passport     入境紙 Entry Paper
- 銀行帳號證明 Copy of the cover of bankbook or bank statement： 香港 Hong Kong     澳門 Macau     內地 Mainland
1. 開戶書 Account Opening Form (需合資格人士見證簽署 Qualified Witness Signature)
  2. W8 個人申報表格 W-8BEN Form for Individuals
  3. 個人稅務自我證明表格 Individual Tax Residency Self-Certification Form (CRS-I (HK))

[備註] NOTE: \_\_\_\_\_

### FOR CORPORATE CLIENTS 公司客戶

\*所有證明文件須為認證副本 Certified True Copies of:

1. 公司開戶書 Account Opening Form (需合資格人士見證簽署 Qualified Witness Signature)
2. 註冊成立證書 Certificate of Incorporation
3. 商業登記證 Business Registration Certificate
4. 公司組織章程大綱及細則 Memorandum & Articles of Association
5. 最新公司年報及任何公司註冊處變更記錄登記 Latest Annual Return & Companies Registry Change Record)
6. 董事會決議之核證申請開戶口及委任授權人士運作戶口 Board resolution(s) approving A/C Opening & AP(s)
7. 最近公司審計帳目 Latest audited financial statements
8. 董事、被委任授權人士、股東 (持25%股本或以上) 之香港身份証或中國身份証及通行証或護照，以及最近三個月內有效住址證明一張 HKID / RPC ID AND Travel Doc/ Passport AND Recent 3 mths Residential Address Proof of Director(s), Appointed Authorized Person(s) and Shareholders (holding of 25% or more share capital)
9. 公司銀行帳號證明 Copy of the cover of Company bank statement or bankbook
10. 董事/股東個人擔保書 Personal Guarantee of Director(s)/Shareholder(s)
11. W8 公司申報表格 W-8BEN-E / W-8-IMY Form for Entities
12. 自我證明表格 – 公司或實體 Self-Certification Form – Company or Entity (CRS-E)
13. 自我證明表格 – 控權人 Self-Certification Form – Controlling Person (CRS-CP)

### Additional Documents for B.V.I. and Other non-Hong Kong Company 英屬處女群島及其他香港境外公司附加文件:

1. 公司最近三個月內的商業地址證明 Recent 3 mths proof of Company's Place of Business address
2. 確認現任董事及高級人員的在職證書或註冊代理證書 Registered Agent's Certificate identifying the current directors and officers, verified or issued by the registered agent of the Company e.g. ROD and ROM
3. 最新公司實益擁有權的真確資料 (包括但不限於存續証證明、公司責任證明等) Info on the true beneficial ownership of the Company e.g. Certificate of Incumbency and Certificate of Good Standing

[備註] NOTE: \_\_\_\_\_

### OTHER DOCUMENTATIONS 其他文件:

1. 《立橋銀證通》服務申請表 “Well Link Connect” (WLC) Service Application Form
2. 客戶授權信 (《立橋銀證通》保證金賬戶適用) Client Authorization Letter (For WLC Margin ACC Opening Only)
3. 中華通北向交易委託聲明 (適用於滬深通 A 股交易) Consent Letter on Northbound China Stock Connect Orders
4. 「專業投資者」申請書 Professional Investor (PI) Application Form

注意：以上所列文件並非詳盡清單舉例只作參考 NOTE: The above document lists are only a guideline for which by no means exhaustive.

- Document Completed 開戶文件已完成     立橋證券歡迎文件 WLS Welcome Pack  
 Outstanding Document 尚欠文件\_\_\_\_\_

Remark 備註\_\_\_\_\_

Checked by: \_\_\_\_\_ (CSM / AE) Received by: \_\_\_\_\_ (Settlement Dept.)

開戶人 Opened by	客服部經理 CSM Reviewed	文件檢查 Doc. Checked	R.O. 批核 R.O. Approved	輸入系統 System Input	最後檢查 Final Checked

簽名:

日期: