

**Corporate Account - Account Opening Checklist****法人帳戶 - 開戶文件清單**

Please provide the following documents / information required for opening the trading account with Yuanta Securities (Hong Kong) Company Limited: 請提供以下於元大實來證券(香港)有限公司開立交易戶口所需資料/文件:

	Documents requested 所需文件	Listed company or Government or public body 上市公司或政府 或公共機構	Other clients 其他客戶
1.	Certified true copy of Certificate of Incorporation 核證公司註冊證副本		✓
2.	Certified true copy of Business Registration Certificate (for Company registered in HK) 核證商業登記證副本 (適用於在香港註冊登記之公司)		✓
3.	Certified true copy of Memorandum & Articles of Association 核證公司章程副本		✓
4.	Certified true copy of latest audited account or financial statements 核證最近的核數師報告或財政報告	✓	✓
5.	Certified true copy of Latest Register of Directors 核證最近之董事名冊	✓	✓
6.	Certified true copy of Latest Register of Shareholders 核證最近之股東名冊		✓
7.	Certified copy of board resolution authorized the opening and operating of the account and specifying the signing arrangements for operation and operating account (with the full name of the authorized persons, their signatory specimen, and their capacity / authority) 董事會決議的核證副本 - 有關開立戶口事宜並註明所有授權簽名人士 (須包括授權人全名、簽名式樣以及獲授予之權力)	✓	✓
8.	Business address proof within last 3 months (if such address is different from the registered office address shown in the Business Registration Certificate under item (2) or Certificate of Incumbency under item (11)) (if applicable) 最近3個月公司業務地址證明 (如與(2)之商業登記證或(11)之職權證明書中的公司登記地址不同) (如適用)	✓	✓
9.	Certified true copy of ID card or valid passport of all substantial shareholders* (who is entitled to exercise, or control the exercise of, 10% or more of voting power at the general meeting of the company), ultimate beneficial owners, all authorized persons and directors 所有大股東 (在該公司股東大會上行使或控制行使 10%或以上投票權的人士)、最終受益人、授權人士及董事之有效核證身分證 / 護照證明副本	✓ (只需提供授權人士)	✓
10.	Certified true copy of residential address proof (and permanent address, if different) of all substantial shareholders and ultimate beneficial owners 大股東及最終受益擁有人之有效核證住址證明 (及永久地址, 如有不同)		✓
11.	For a locally incorporated company : a search of file at the Hong Kong Company Registry OR obtain from the client a certified true copy of a company search report certified by a company registry or professional third party 2 (remarks : the company search report should have been issued within the last 6 months) 在本地註冊的公司 : 搜尋香港公司註冊處的檔案 或 向客戶取得一份由公司註冊處或專業第三者認證的公司查冊報告的認證副本 2 (註 : 該公司查冊報告應在過去6個月內簽發)		✓
12.	For a company incorporated overseas : certified true copy of a certificate of incumbency certified by a professional third party 2. (remarks : the certificate of incumbency should have been issued within the last 6 months) 在海外註冊的公司 : 由專業第三者認證的職權證明書認證副本 2 (註 : 該證明書應在過去6個月內簽發)		✓



13.	For companies with multiple layers in their ownership structures (if applicable): - Ownership chart describing the intermediate declared by director (include company name, place of incorporation and the rationale behind the structure) ; and - Follow the chain of ownership to the individuals who are the ultimate beneficial owners; - Certified true copy of ID card or valid passport of all substantial shareholders and the ultimate beneficial owners - Copy of Certificate of Incorporation and Latest Register of Directors of Intermediate Layers 有多層擁有權結構的公司 (如適用): - 擁有權圖表的董事聲明 (包括公司名稱、公司註冊地, 以及特定結構的理據); 及 - 依隨擁有權結構找出客戶的最終實益擁有人 - 所有大股東及最終受益人之有效核證身分證/護照證明副本 - 中介層公司的公司註冊證副本及最近之股東名冊		✓
14.	Unlimited Continuing Guarantee 無限持續擔保書	✓	✓
15.	Account Opening Form for Corporate Account 公司帳戶開戶表格	✓	✓

Remarks 備註

- Certified true copy should be certified by licensed or registered person, Justice of the Peace or professionals (e.g. Branch Manager of bank, qualified accountant, Lawyer, or Notary Public). 所有副本的核證, 應由持牌或註冊人士、太平紳士或專業人士 (如: 銀行分行經理、執業會計師、律師或公證人)加以驗證
- Documents should be certified by professional third party (e.g. practising solicitor, certified practising accountants, or Notary Public). Self certification by customer is NOT accepted
專業第三者核證 (如: 執業律師、執業會計師或公證人)。不接受該公司自行核證



Fund Type Entity - Account opening checklist

基金類型實體 - 開戶文件清單

Please provide the following documents / information required for opening new securities / futures trading account with Yuanta Securities (Hong Kong) Company Limited:

請提供以下於元大寶來證券(香港)有限公司開立證券/期貨交易戶口所需資料/文件:

	Documents requested 所需文件	Type A Entity ¹ A 類實體 ¹	Type B entity ² B 類實體 ²
1.	Certified true copy of Certificate of Incorporation 核證公司註冊證副本	✓	✓
2.	Certified true copy of Memorandum & Articles of Association 核證公司章程副本	✓	✓
3.	Certified true copy of Latest Register of Directors 核證最近之董事名冊	✓	✓
4.	Certified true copy of Latest Register of Shareholders 核證最近之股東名冊		✓
5.	Certified copy of board resolution authorized the opening and operating of the account and specifying the signing arrangements for operation and operating account (with the full name of the authorized persons, their signatory specimen, and their capacity / authority) 董事會決議的核證副本 - 有關開立戶口事宜並註明所有授權簽名人士 (須包括授權人全名、簽名式樣以及獲授予之權力)	✓	✓
6.	Business address proof within last 3 months (if such address is different from the registered office address shown in item (8) & (9) (if applicable) 最近 3 個月公司業務地址證明 (如與(8)或(9)之公司登記地址不同) (如適用)		✓
7.	Certified true copy of ID card or valid passport of all substantial shareholders* (who is entitled to exercise, or control the exercise of, 10% or more of voting power at the general meeting of the company), ultimate beneficial owners, all authorized persons and directors 所有大股東 (在該公司股東大會上行使或控制行使 10%或以上投票權的人士)、最終受益人、授權人士及董事之有效核證身分證 / 護照證明副本	✓ (無須提供股東)	✓
8.	For a locally incorporated company : a search of file at the Hong Kong Company Registry OR obtain from the client a certified true copy of a company search report certified by a company registry or professional third party 2 (remarks : the company search report should have been issued within the last 6 months) 在本地註冊的公司 : 搜尋香港公司註冊處的檔案 或 向客戶取得一份由公司註冊處或專業第三者認證的公司查冊報告的認證副本 2 (註 : 該公司查冊報告應在過去 6 個月內簽發)		✓
9.	For a company incorporated overseas: certified true copy of a certificate of incumbency certified by a professional third party 2. (remarks : the certificate of incumbency should have been issued within the last 6 months) 在海外註冊的公司 : 由專業第三者認證的職權證明書認證副本 2 (註 : 該證明書應在過去 6 個月內簽發)		✓
10.	For companies with multiple layers in their ownership structures (if applicable): - Ownership chart describing the intermediate declared by director (include company name, place of incorporation and the rationale behind the structure) ; and - Follow the chain of ownership to the individuals who are the ultimate beneficial owners; - Certified true copy of ID card or valid passport of all substantial shareholders and the ultimate beneficial owners - Copy of Certificate of Incorporation and Latest Register of Directors of Intermediate Layers 有多層擁有權結構的公司 (如適用): - 擁有權圖表的董事聲明 (包括公司名稱、公司註冊地, 以及特定結構的理據); 及 - 依隨擁有權結構找出客戶的最終實益擁有人 - 所有大股東及最終受益人之有效核證身分證/護照證明副本 - 中介層公司的公司註冊證副本及最近之股東名冊		✓



11.	Certified true copy of the prospectus/offering memorandum; investment management agreement; investment advisory agreement; Custodian agreement 核證銷售章程 / 發行備忘錄; 投資管理協議; 投資顧問協議; 托管人協議	✓	✓
12.	Certified true copy of investment portfolio statement indicating latest Asset Under Management (AUM) size, or initial funding statement for start up fund 核證投資組合結單可展示最近期的資產管理規模, 或結單展示首次投入基金時的金額	✓	✓
13.	A representation letter from the entity who perform KYC on the investors in accordance with the regulatory requirements 由負責進行認識你的客戶的單位出具的證明信證明其符合監管法例的要求	✓	✓
14.	Unlimited Continuing Guarantee 無限持續擔保書	✓	✓
15.	Account Opening Form for Corporate Account (not applicable for Professional Investor) 公司帳戶開戶表格 (不適用於專業投資者)	✓	✓

Remarks 備註

- Definition of Type A Entity A 類實體定義
 - The person responsible for carrying out the CDD measures for the fund entity is a financial intermediary regulated under FATF countries³. 負責對基金實體執行盡職審查的有關人士是屬於財務特別行動組織的成員國³ 監管之金融機構
- Definition of Type B Entity B 類實體定義
 - Fund entity and the person responsible for carrying out the CDD measures for the fund entity is not a financial intermediary regulated under FATF countries³. 基金實體 及 負責對基金實體執行盡職審查的有關人士不屬於財務特別行動組織的成員國³ 監管之金融機構
- FATF countries 財務特別行動組織的成員國
 - Argentina, Australia, Austria, Belgium, Brazil ,Canada, China, Denmark, Finland, France, Germany, Greece, HK China, Iceland, India, Ireland, Italy, Japan, Kingdom of the Netherlands, Luxembourg, Mexico, New Zealand, Norway, Portugal ,Republic of Korea, Russian, Federation, Singapore, Spain, Sweden, Switzerland, Turkey, United Kingdom, United States, European Commission, Gulf Co-operation Council
阿根廷、澳洲、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、中國香港、冰島、印度、愛爾蘭、意大利、日本、荷蘭、盧森堡、墨西哥、新西蘭、挪威、葡萄牙、韓國、俄羅斯、新加坡、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會、海灣合作理事會
 - Updated list can be found at FATF's website 更新成員國名單可見於財務特別行動組織網頁: <http://www.fatf-gafi.org/>
- Certified true copy should be certified by licensed or registered person, Justice of the Peace or professionals (e.g. Branch Manager of bank, qualified accountant, Lawyer, or Notary Public). 所有副本的核證, 應由持牌或註冊人士、太平紳士或專業人士 (如: 銀行分行經理、執業會計師、律師或公證人) 加以驗證
- Documents should be certified by professional third party (e.g. practising solicitor, certified practising accountants, or Notary Public). Self certification by customer is NOT accepted 專業第三者核證 (如: 執業律師、執業會計師或公證人)。 不接受該公司自行核證