



公司 / 機構客戶開立證券買賣戶口需知  
**NOTE TO CLIENT (CORPORATE / INSTITUTIONAL ACCOUNT)**  
**RELATING TO OPENING SECURITIES TRADING ACCOUNT**

客戶開立證券買賣戶口，必須填妥及簽署以下文件：

For opening a securities trading account, client shall complete and sign the documents listed below :

1. 客戶資料表 - 公司/機構賬戶 Client Information Form – Corporate / Institutional Account
2. 北向交易投資者識別碼模式客戶同意書 Client Consent on the Northbound Investor ID Model
3. 授權簽署文件人員名字、身分證號碼及簽字 List of authorized signatory name, ID No and specimen signature
4. 授權交易人員名字、身分證號碼及簽字 List of authorized trader name, ID No and specimen signature
5. 自我證明表格 - 實體 Self-Certification Form - Entity
6. 自我證明表格 - 控權人 Self-Certification Form - Controlling person
7. W-8BEN-E 表格 W-8BEN-E form
8. W-8IMY 表格 W-8IMY form
9. 專業投資者聲明 (如適用) PI Declaration Form (if applicable)

客戶並須提供下列文件及經公司秘書/律師/會計師核證的副本(不接受客戶自行核證的副本)：

In support thereof, client shall provide true copies of the following documents certified by Company Secretary/Solicitor/C.P.A

(self-certified by client is not sufficient)

1. 董事會會議記錄 Board Minutes Approving Account Opening
2. 公司註冊證副本 Copy of Cert. of Incorporation
3. 商業登記證副本 (就香港註冊公司而言) Copy of Business Registration Cert. (for HK registered company)
4. 存續證明書副本 (就非香港註冊公司而言) (六個月內) Copy of Cert. of Incumbency (for non-HK registered company) (within 6 months)
5. 組織章程大綱及章程細則副本 Copy of Memorandum and Articles of Association
6. 董事登記冊或表 D2 副本 (最新週年申報表及董事變動通知書, 倘適用) (就香港註冊公司而言) Copy of Register of Director or Form D2 (Latest Annual Return & Notification of changes of Director, if applicable) (for HK registered company)
7. 董事登記冊副本及股東登記冊副本 (就非香港註冊公司而言) Copy of Register of Director & Copy of Register of Shareholder (for non-HK registered co.)
8. 經審核財務報表 (一年內) (如有) Audited Financial Statement (within one year) (if any)
9. 集團架構圖 Organisation Chart
10. 實益擁有人 (持有 10%或以上股權)、所有董事及授權人士的身份證明文件副本 Copy of Personal ID of Beneficial Owners (shareholding of 10% or more), All Director and Authorized Person



11. 實益擁有人 (持有 10%或以上股權)、所有董事及授權人士的地址證明副本 Copy of Address Proof of Beneficial Owners (shareholding of 10% or more) , All Director and Authorized Person
12. 公司地址證明副本 (過往三個月內) Copy of Co. Address Proof (within the past three months)
13. 香港銀行賬戶詳情 (直接存款) 副本 Bank Account details (for direct deposit) Copy
14. 擔保契據 Deed of Guarantee
15. 擔保人的本人身份證明副本 (倘適用) Copy of Personal ID of Guarantor (if applicable)
16. 擔保人的住宅地址證明副本 (過往三個月內) (倘適用) Copy of Residential Address Proof of Guarantor (within the past three months) (if applicable)

注意：

本公司暫不接受以下公司開設帳戶

1. 未有於 FATCA 登記之持牌機構；或
2. 於美國註冊成立 或 有美國人持有的機構。

Attention:

We do not accept account opening applications from the following companies:

1. Licensed corporations without FATCA registration; or
2. Entities registered in the U.S.A or owned by U.S. citizen

NOTE 註	
Copy of Co. Add. Proof 公司地址證明副本	copy of residential add. proof of director is acceptable as co. add. proof for sole member and sole director co. 董事的住宅地址證明副本可作為唯一股東及唯一董事公司的公司地址證明
<p>Natural Person(s) of Corporate A/C 公司賬戶的自然人：</p> <p>For any director(s)/shareholder(s) that is a Co., please identify all natural person(s) who is/are the ultimate owner(s) of that Co. 就任何身為公司的董事/股東而言，請確認身為自然人的實益擁有人</p>	<p>for HK incorporated co. 就香港註冊成立公司而言</p> <ul style="list-style-type: none"> <li>- Copy of Cert. of Incorporation 公司註冊證明書副本</li> <li>- Copy of Business Registration Cert. 商業登記證副本</li> <li>- Copy of M and A 組織章程大綱及章程細則副本</li> <li>- Copy of Register of Director/Form D2 (Latest Annual Return &amp; Notification of changes of Director, if applicable) 董事登記冊或表 D2 副本 (最新週年申報表及董事變動通知書, 倘適用)</li> <li>- Audited Financial Statement (within 1 year) (if required) 經審核財務報表(一年內)(如需要)</li> <li>- Copy of Personal ID and address proof of all Director(s) &amp; Authorised Person (within the past three months) 所有董事及授權人士的本人身份證明文件及地址證明文件副本 (過往三個月內)</li> </ul> <p>for non-HK incorporated Co. 就非香港註冊成立公司而言</p> <ul style="list-style-type: none"> <li>- Copy of Cert. of Incorporation 公司註冊證明書副本</li> <li>- Copy of Cert. of Incumbency (within 6 months) 存續證明書副本 (六個月內)</li> <li>- Copy of M &amp; A of Association 組織章程大綱及章程細則副本</li> <li>- Copy of Register of Director &amp; Copy of Register of Shareholder 董事登記冊副本及股東登記冊副本</li> <li>- Audited Financial Statement (within 1 year) (if required) 經審核財務報表(一年內)(如需要)</li> <li>- Copy of Personal ID and address proof of all Director(s) &amp; Authorised Person (within the past three months) 所有董事及授權人士的本人身份證明文件及地址證明文件副本 (過往三個月內)</li> </ul>
Any deletion / amendment on the agreement / any other relevant document 對協議/任何	Must be signed by all A/C holders (full signature) 須由所有賬戶持有人簽署 (簽全名)



其他相關文件作出的任何刪除或修訂

如本公司要求，客戶及擔保人亦須要提供資產/收入證明。

Client and Guarantor shall provide net worth proof as well upon request by the Company.

以上有關文件未經本公司核證及批准前，客戶不可進行任何證券交易。

No trading will be allowed until all the relevant documents submitted are checked and approved by the Company.

感謝 客戶的合作及支持。

Thank you for your cooperation and support.

富盈證券集團有限公司 謹啓  
Galaxy Treasure Securities Group Limited

