

## **DOCUMENT CHECKLIST (CORPORATE ACCOUNT)**

- (A)** A copy of the following documents each duly certified as a true copy by our employee or authorised person of our Affiliated companies, or any other person licensed by or registered with the Securities and Futures Commission in Hong Kong, a Justice of the Peace or a professional person such as practising solicitor/certified public accountant/branch manager of a reputable bank or a notary public (i.e. they should have sighted the originals before taking photocopies and certifying the documents) should be provided to us:

1	Identity document of the Director(s)
2	Identity document of the Shareholder(s)
3	Identity document of the Ultimate Beneficial Owner(s)
4	Identity document of the Authorised Person(s)
5	Identity document of the Individual Process Agent (if applicable)
6	Identity document of the Guarantor(s)
7	Residential Address Proof of the Guarantor(s) e.g. bank statement or utility bill issued within the past 3 months

- (B)** A copy of the following documents of the Client, each duly certified as a true copy by any one director of the Client, should be provided to us:

8	Memorandum and Articles of Association/Bye-Laws/Constitution
9	Certificate of Incorporation
10	Certificate of Incorporation on Change of Name (if any)
11	Business Registration Certificate (if any)
12	Extract of Board Resolutions
13	List of all Directors and List of Shareholders e.g. (For Hong Kong Companies) Copy of the Latest Form AR1 or Form D1 plus subsequent Form D2 e.g. (For overseas Companies) Copy of the Register of Directors and Register of Members
14	Income/Financial Proof of the Guarantor(s) e.g. bank passbook/bank statement or statement of other securities firm issued within the past 3 months or the latest tax returns or salaries advice
15	Business Registration Certificate, Certificate of Incorporation and Certificate of Incorporation on Change of Name of the Corporate Process Agent (if applicable)
16	Company search report at the Hong Kong Registry or similar overseas company search report enquiry (certified by a company registry or professional third party, company search should be within 6 months)
17	Certificate of incumbency issued by company's registered agent/professional third party within 6 months (for overseas company)

- (C)** A copy of the following document of the Client should be provided to us:

18	Audited Financial Statements (if any)
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- (D)** Other additional supporting documents may be requested for verification purposes.

For official use only			
Client Name			
Checked by		Date	

## 文件清單(公司戶口)

(甲) 須向本行提供下列經由本行僱員或本行聯繫公司之授權人士、或其他證券及期貨事務監察委員會持牌或註冊公司或實體之授權人、太平紳士或專業人士例如執業律師/執業會計師/聲譽良好的銀行之分行經理或公證人核證下列文件副本為真實副本文件副本 (在進行複印和核實有關文件前, 正本須經此等人士查閱。):

<input type="checkbox"/>	1	董事之身份證明文件
<input type="checkbox"/>	2	股東之身份證明文件
<input type="checkbox"/>	3	最終實益擁有人之身份證明文件
<input type="checkbox"/>	4	獲授權人士之身份證明文件
<input type="checkbox"/>	5	個人法律程序代理人之身份證明文件(如適用)
<input type="checkbox"/>	6	擔保人之身份證明文件
<input type="checkbox"/>	7	擔保人之住址證明 如: 最近三個月發出的銀行結單或水電煤氣等賬單

(乙) 須向本行提供經由客戶之任何一位董事核證為真實副本之下列文件副本:

<input type="checkbox"/>	8	組織章程大綱及章程細則
<input type="checkbox"/>	9	公司註冊證書
<input type="checkbox"/>	10	公司更改名稱證書(如有)
<input type="checkbox"/>	11	商業登記證(如有)
<input type="checkbox"/>	12	董事會決議摘錄
<input type="checkbox"/>	13	所有董事名單及股東名單 如: 最近之 AR1 或 D1 表格連同隨後的 D2 表格(只適用於香港公司) 如: 董事登記冊及成員登記冊(只適用於海外公司)
<input type="checkbox"/>	14	擔保人之入息/財務證明 如: 銀行存摺/最近三個月發出的銀行結單或其他證券行結單或最近之報稅表或糧單
<input type="checkbox"/>	15	公司法律程序代理人之商業登記證、公司註冊證書及公司更改名稱證書(如適用)
<input type="checkbox"/>	16	在香港公司註冊處獲得的公司報告或在海外註冊地註冊處取得的公司報告(公司的搜索須由專業的第三方認證, 並且在 6 個月內有效)。
<input type="checkbox"/>	17	由有關公司當地註冊代理或專業的第三方核證的職權證明書並且在 6 個月內有效。(適用於海外公司)

(丙) 須向本行提供下列文件副本:

<input type="checkbox"/>	18	最近之經審計財務報表(如有)
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(丁) 本行可能要求其他額外支持性的文件作核對之用。

註: 如中、英文版本有任何分歧, 概以英文版本為準。

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