

**Securities**

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A member of  
**Maybank Investment Banking Group**

## DOCUMENT CHECKLIST (CORPORATE ACCOUNT)

**(A)** Please sign and fill in below documents for opening Corporate Account.

1	Client Master Agreement
2	Client Information Statement (For Corporate Account)
3	Certified Extract of Board Resolutions
4	Guarantee (For opening Margin Account or Futures & Options Account)
5	Guarantor Information Statement (For opening Margin Account or Futures & Options Account)
6	Self-Certification Form-Entity
7	Self-Certification Form-Controlling Person (For Passive NFE only)
8	Risk Profiling Questionnaire (Corporate Account)
9	W9 form (for US entity) / W-8BEN-E (for Non-US entity) [If the entity's shareholder(s) are US person, who are required to complete W9 form by each]
10	Sanctions due Diligence Form for Legal Entity
11	China Connect (Northbound) PICS - Acknowledgement and Consent

**(B)** 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:

12	Certificate of Incorporation
13	Certificate of Incorporation on Change of Name (if any)
14	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)
15	Certificate of incumbency issued by company's registered agent/professional third party within 6 months (for overseas company)
16	Business Registration Certificate (for Hong Kong company)
17	Memorandum and Articles of Association/Bye-Laws/Constitution
18	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
19	Identity document of: (For HK Permanent residents: HKID Card; For non-HK permanent residents : Valid travel document and ID Card document)
	- Director(s)
	- Shareholder(s)
	- Ultimate Beneficial Owner(s)
	- Authorised Person(s)
	- Individual Process Agent (if applicable)
	- Guarantor(s) (if applicable)
20	Residential Address Proof (e.g. bank statement or utility bill issued within the past 3 months) of :
	- Company
	- Shareholder(s)
	- Ultimate Beneficial Owner(s)
	- Guarantor(s) (if applicable)
21	Proof of Bank Account (e.g. Passbook, ATM card with Name, Bank Statement...etc.) within 3 months
22	Immigration Proof (if applicable)
23	Organisation Chart/Structure (for 2 or more layers of Owners/Shareholders) with director's declaration
24	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
25	Business Registration Certificate, Certificate of Incorporation and Certificate of Incorporation on Change of Name of the Corporate Process Agent (if applicable)
26	Standing Settlement Instruction (for special settlement method only)

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

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

## 文件清單(公司戶口)

(甲) 請填妥及簽署以下文件。

1	客戶綜合協議
2	客戶資料聲明(公司戶口)
3	董事會決議之核證摘錄
4	擔保書(適用於開立孖展或期貨及期權之客戶)
5	擔保人資料聲明(適用於開立孖展或期貨及期權之客戶)
6	自我證明表格 - 實體
7	自我證明表格 - 控權人(被動非財務實體適用)
8	風險取向問卷(公司帳戶)
9	W9 表格(美國公司適用) / W-8BEN-E (非美國公司適用) [如公司股東是美國人, 每位美國股東均需各自填寫一份 W9 表格]
10	Sanctions due Diligence Form (公司戶口)
11	中華通北向交易個人資料收集聲明 - 確認和同意書

(乙) 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、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士、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):

12	公司註冊證書
13	公司更改名稱證書(如有)
14	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(須由專業的第三方認證, 並且在 6 個月內有效)
15	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)
16	商業登記證(適用於香港公司)
17	組織章程大綱及章程細則
18	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)
19	以下人士之身份證明文件: (香港永久性居民: 請提供香港永久性居民身份證; 非香港永久性居民: 請提供有效旅遊證件及身份證明文件)
	- 董事
	- 股東
	- 最終實益擁有人
	- 獲授權人士
	- 個人法律程序代理人之身份證明文件(如適用)
	- 擔保人(如適用)
20	以下人士之住址證明(如: 最近三個月發出的銀行結單或水電煤氣等帳單):
	- 公司
	- 股東
	- 最終實益擁有人
	- 擔保人(如適用)
21	最近 3 個月內發出的銀行戶口資料證明(如銀行存摺、載有客戶姓名的提款卡、銀行結單等)
22	入境證明書(如適用)
23	公司董事簽署核證的公司架構圖(適用於 2 層或以上之架構)
24	擔保人之入息/財務證明(如適用) 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
25	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)
26	常設交收指示(適用於其他交收指示)

(丙) 須向本行提供下列文件副本:

27	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文件作核實之用。

註: 如中、英文版本有任何分歧, 概以英文版本為準。