

## Document Checklist (Corporate Account)

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

<input type="checkbox"/>	1. Hong Kong Identity Card/Passport of the Director(s)
<input type="checkbox"/>	2. Hong Kong Identity Card/Passport of the Shareholder(s)
<input type="checkbox"/>	3. Hong Kong Identity Card/Passport of the Ultimate Beneficial Owner(s)
<input type="checkbox"/>	4. Hong Kong Identity Card/Passport of the Authorized Person(s)
<input type="checkbox"/>	5. Hong Kong Identity Card/Passport of the Individual Process Agent <b>(if applicable)</b>
<input type="checkbox"/>	6. Hong Kong Identity Card/Passport of the Guarantor(s)
<input type="checkbox"/>	7. Residential Address Proof of the Guarantor(s) <i>e.g. bank statement or utility bill issued within the past 3 months</i>

(B) A copy each 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:

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

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

<input type="checkbox"/>	18. Audited Financial Statements (if any)
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(D) The following document should be provided to us if only our Account Executive has witnessed the Client's signature of the Client Information Statement:

<input type="checkbox"/>	19. a cheque <i>*(in the sum of not less than HK\$10,000 and bearing the Client's name as shown in the Certificate of Incorporation)</i> issued by the Client and drawn on the Client's account with a licensed bank in Hong Kong.
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- \* 1. The cheque must:
- *be drawn on the Client's Hong Kong dollar bank account with a licensed bank in Hong Kong;*
  - *show the Client's Account Name which must be pre-printed on the cheque. This Account Name must be the same as the Client's name on the Client Information Statement and the Certificate of Incorporation/other identity documents;*
  - *be made payable to "Kim Eng Securities (Hong Kong) Limited" (for Securities Trading and/or Margin account) or "Kim Eng Futures (Hong Kong) Limited" (for Commodities Trading account only) with an amount not less than HK\$10,000;*
  - *bear the same signature with the Client Information Statement; and*
  - *be encashed and cleared.*
2. The amount will be credited into the Client's account with us directly after we have sighted the original and taken a copy of the cheque, and **the new account will not be activated until the cheque is cleared.**

(E) Other additional supporting documents may be requested for verification purposes.

Kim Eng Securities (Hong Kong) Limited

Kim Eng Futures (Hong Kong) Limited

For official use only	
Client Name	
Checked by:	Date:

## 文件清單

### (公司戶口)

- (A) 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、或公證人或其他證券及期貨事務委員會持牌或註冊公司或實體之授權人士或執業律師/執業會計師/聲譽良好的銀行之分行經理或其他本行接受的人士核證為真實副本之下列文件副本 (正本須經此等人士查閱、複印及核證)：

<input type="checkbox"/>	1. 董事之香港身份證/護照
<input type="checkbox"/>	2. 股東之香港身份證/護照
<input type="checkbox"/>	3. 最終實益擁有人之香港身份證/護照
<input type="checkbox"/>	4. 獲授權人士之香港身份證/護照
<input type="checkbox"/>	5. 個人法律程序代理人之香港身份證/護照(如適用)
<input type="checkbox"/>	6. 擔保人之香港身份證/護照
<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

- (B) 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. 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) 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人或專業的第三方核證的職權證明書。

- (C) 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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- (D) 若只經由本行客戶主任見證客戶簽署客戶資料聲明，請提供下列文件予本行：

<input type="checkbox"/>	19. 由該客戶在香港持牌銀行開立的帳戶所簽發的支票 * (數額不得少於 HK\$10,000，並須載有該客戶在公司註冊證書上顯示名稱)
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- \* 1. 該支票必須：
- 由該客戶在香港持牌銀行開立的港元帳戶所簽發；
  - 支票上必須顯示客戶的帳戶名稱。此帳戶名稱必須與客戶簽資料聲明及公司註冊證書上客戶姓名相符；
  - 抬頭人請寫「金英証券(香港)有限公司」或「金英期貨(香港)有限公司」(適用於期貨交易戶口)，數額不得少於 HK\$10,000；
  - 簽名必須與客戶簽資料聲明的簽名相符；及
  - 必須兌現及清算。
2. 該支票經本行查閱正本及複印後，本行將在客戶新戶口的貸方記入該數額，但新戶口必須待清算支票後才可使用。

- (E) 本行可能要求其他額外支持性的文件作核對之用。

金英証券(香港)有限公司

金英期貨(香港)有限公司

註：如中、英文版本有任何分歧，概以英文版本為準。

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Client Name	
Checked by:	Date: