



CSC Futures (HK) Limited
群益期貨(香港)有限公司

CHECKLIST FOR ACCOUNT OPENING DOCUMENTS FUTURES ACCOUNT

Account Holder : (CE No.:)

Account No. : A.E. Name :

(A) ☐ General Client

- ☐ 1. Account Opening Form
- ☐ 2. Customer Information Statement
- ☐ 3. Terms and Conditions for Futures Trading
(only explain to client the terms and investment risk)

☐ Professional Investor

- ☐ 1. Client Information Sheet - PI
- ☐ 2. Notice of Treatment as PI
- ☐ 3. Copy of Assets Proof
(eg. accredited portfolio statement issued within 12 mths.)

(B) ☐ Individual / Joint Account

- ☐ a. Individual Account; **OR**
- ☐ b. Joint Account

- ☐ 1. Identity Proof
 - ☐ a. ID Copy; **OR**
 - ☐ b. Passport Copy
- ☐ 2. Copy of Address Proof
(issued within 3 mths.)
- ☐ 3. Signature Card

☐ Corporate Account

- ☐ 1. Copy of Board Resolution *
- ☐ 2. Authorised Persons
 - ☐ a. List and Specimen Signatories *; **OR**
 - ☐ b. Signature Card
- ☐ 3. List and Specimen Signatories of Authorised Dealers *
- ☐ 4. HKID / Passport Copy * of
 - ☐ a. Authorised Persons;
 - ☐ b. Authorised Dealers;
 - ☐ c. Directors; **AND**
 - ☐ c. Individuals who have 10% or more ultimate beneficial interest ^
- ☐ 5. Copy of Address Proof (issued within 3 mths.)
- ☐ 6. Memorandum and Articles of Association *
- ☐ 7. Company Incorporated in Hong Kong
 - ☐ a. Copy of Certificate of Incorporation *;
 - ☐ b. Copy of Business Registration *; **AND**
 - ☐ c. Copy of Annual Return #
- ☐ 8. Company Incorporated in BVI / Cayman Island / Overseas
 - ☐ a. Copy of Certificate of Incumbency (issued within 6 mths.)#;
 - ☐ b. Copy of Certificate of Incorporation *; **AND**
 - ☐ c. Copy of Register of Members & Directors *
- ☐ 9. Copy of Latest Audited Financial Statement *
- ☐ 10. Letter of Guarantee
- ☐ 11. Guarantor's Information Form

* Should be certified true by a Director of the corporate client, lawyer, CPA or notary public.

Should be certified true by a company registry or professional third party.

^ Not applicable for public listed companies.

Other Forms

- ☐ Commission/Limits Application Form ♦
- ☐ Anti-Money Laundering Risk Assessment Questionnaire & Risk Screen Report ♦
- ☐ Standing Authority - Payment / Transfer Instruction (between securities & futures account)
- ☐ QFII Letter - Investment in Taiwan Futures (for trading Taiwan futures only)

♦ Compulsory

For Office Use Only

	Department	Name	Signature	Date
Checked By	Sales/Dealing			
Approved By	Sales/Dealing (R.O.)			
Checked & Approved By	Risk Management			
Comment				

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