



Account Holder : (CE No.:)

Account No. : A.E. Name :

(A) **General Client** **Professional Investor**

<input type="checkbox"/> 1. Account Opening Form	<input type="checkbox"/> 1. Client Information Sheet - PI
<input type="checkbox"/> 2. Customer Information Statement	<input type="checkbox"/> 2. Notice of Treatment as PI
<input type="checkbox"/> 3. Terms and Conditions for Securities Trading (only explain to client the terms and investment risk)	<input type="checkbox"/> 3. Copy of Assets Proof (eg. accredited portfolio statement issued within 12 mths.)

(B) **Cash Account** **Margin Account**

Individual / Joint Account
 1. Standing Authority - Repledge Securities Collateral

Corporate Account
 1. Copy of Latest Audited Financial Statement *
 2. Letter of Guarantee
 3. Guarantor's Information Form
 4. Standing Authority - Repledge Securities Collateral

(C) **Individual / Joint Account** **Corporate Account**

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

<input type="checkbox"/> 1. Identity Proof <input type="checkbox"/> a. ID Copy; OR <input type="checkbox"/> b. Passport Copy	<input type="checkbox"/> 1. Copy of Board Resolution *
<input type="checkbox"/> 2. Copy of Address Proof (issued within 3 mths.)	<input type="checkbox"/> 2. Authorised Persons <input type="checkbox"/> a. List and Specimen Signatories *; OR <input type="checkbox"/> b. Signature Card
<input type="checkbox"/> 3. Signature Card	<input type="checkbox"/> 3. List and Specimen Signatories of Authorised Dealers *
	<input type="checkbox"/> 4. HKID / Passport Copy * of <input type="checkbox"/> a. Authorised Persons; <input type="checkbox"/> b. Authorised Dealers; <input type="checkbox"/> c. Directors; AND <input type="checkbox"/> d. Individuals who have 10% or more ultimate beneficial interest ^
	<input type="checkbox"/> 5. Copy of Address Proof (issued within 3 mths.)
	<input type="checkbox"/> 6. Memorandum and Articles of Association *
	<input type="checkbox"/> 7. Company Incorporated in Hong Kong <input type="checkbox"/> a. Copy of Certificate of Incorporation *; <input type="checkbox"/> b. Copy of Business Registration *; AND <input type="checkbox"/> c. Copy of Annual Return #
	<input type="checkbox"/> 8. Company Incorporated in BVI / Cayman Island / Overseas <input type="checkbox"/> a. Copy of Certificate of Incumbency (issued within 6 mths.)#; <input type="checkbox"/> b. Copy of Certificate of Incorporation *; AND <input type="checkbox"/> c. Copy of Register of Members & Directors *

* 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 Securities (for trading Taiwan securities 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				