



Account Opening Document List (Professional Investor) 開戶文件清單 (專業投資者)	
1. Account opening form for PI 專業投資者開戶申請表	
2. Self-certification form- Entity 自我證明表格-實體	
3. Self-certification form- Controlling person(if applicable) 自我證明表格 -控權人 (如適用)	
4. W-8BEN-E or IMY form 非美國居民稅務證明表格	
5. Risk tolerance for clients questionnaire 客戶風險承擔能力評估表格	
6. AML questionnaire 打擊洗錢及恐怖份子資金籌集_進階盡職審查問卷	
7. License certification or license register record 監管機構發出的牌照證明書複本或註冊紀錄	
8. Certified true copy of board resolution 董事會決議的有效核證副本 – 有關開立戶口事宜並註明所有授權簽名人士(須包括授權人全名、簽名樣式以及獲授予之權力)	
9. Client standing authority (Margin AC applicable) 客戶常設授權 (保證金帳戶適用)	
10. copy of address of the latest 3 months 有效核證之最近 3 個月通訊證明	
11. Certified true copy of Director List and Shareholder List 有效核證董事名單及股東名單之副本	
12. Certified true copy of Certificate of Incorporation 有效核證之公司註冊書	
13. Certified true copy of Business Registration Certificate (for Company registered in HK) 有效核證之商業登記證副本 (香港公司)	
14. Certified Copy of Memorandum and Articles of Association 有效核證之組織章程大綱及細則副本	

15. Certified true copy of latest audited account or financial statements 最近的審計報告或財政報告	
16. Certified true copy of ID card or valid passport of all substantial shareholders 所有大股東（在該公司股東大會上行使或控制行使 10%或以上投票權的人士）、最終受益人、授權人士及董事之有效核證之身份證明文件，如身分證/ 護照證明副本	
17. Certified true copy of an Annual Return (HK) & Certified true copy of a Certificate of Incumbency (Overseas) 周年申報表（香港公司）& 職權證明書（海外公司）	
18. Ownership chart (Signed by Director) 持股架構圖（董事簽名）	
19. Private Placement Memorandum, PPM 基金說明書(如適用) Management Service Agreement 管理合約（如適用）	
20. Certified true copy of Investment Management Agreement for the appointment of Fund Manager (if applicable)委任基金經理（如適用）的投資管理協議的經認證真確副本	
21. Registered Agent's Certificate and Certificate of Good Standing from the Registrar of Companies of the country of incorporation and the certified relevant pages of the statutory book evidencing appointment of the directors (applicable to oversea company) 其海外註冊代理人之證書及海外公司註冊官簽發的信譽證書及經認證有關的董事委任記錄（適用於海外公司）	

*** Document List of witness 見證人身份所需文件清單 (Example of Witness: SFC licensed person, Certified Public Accountant , Lawyer) (見證人身份例子：證監會持牌人，執業會計師，律師)	
1. Self-certified ID copy of witness 已簽署之身份證明文件副本	
2. Certified copy of professional qualification documents 已簽署之專業資格證明文件之副本	