



Account Opening Document List (Professional Investor) 开户文件清单（专业投资者）	
1. Account opening form for PI 专业投资者开户申请表	
2. Self-certification form- Entity 自我证明表格-实体	
3. Self-certification form- Controlling person(if applicable) 自我证明表格 -控权人 (如适用)	
4. W-8BEN-E or IMY form 非美国居民税务证明表格	
5. Risk tolerance for clients questionnaire 客户风险承担能力评估表格	
6. AML questionnaire 打击洗钱及恐怖份子资金筹集_进阶尽职审查问卷	
7. License certification or license register record 监管机构发出的牌照证明书复本或注册纪录	
8. Certified true copy of board resolution 董事会决议的有效核证副本 – 有关开立户口事宜并注明所有授权签名人士(须包括授权人全名、签名样式以及获授予之权力)	
9. Client standing authority (Margin AC applicable) 客户常设授权 (保证金账户适用)	
10. copy of address of the latest 3 months 有效核证之最近 3 个月通讯证明	
11. Certified true copy of Director List and Shareholder List 有效核证董事名单及股东名单之副本	
12. Certified true copy of Certificate of Incorporation 有效核证之公司注册书	
13. Certified true copy of Business Registration Certificate (for Company registered in HK) 有效核证之商业登记证副本（香港公司）	
14. Certified Copy of Memorandum and Articles of Association 有效核证之组织章程大纲及细则副本	

15. Certified true copy of latest audited account or financial statements 最近的审计报告或 财政报告	
16. Certified true copy of ID card or valid passport of all substantial shareholders 所有大 股东 (在该公司股东大会上行使或控制行使 10%或以上投票权的人士)、最终受益人、 授权人士及董事之有效核证之身份证明文件, 如身分证/ 护照证明副本	
17. Certified true copy of an Annual Return (HK) & Certified true copy of a Certificate of Incumbency (Overseas) 周年申报表 (香港公司) & 职权证明书 (海外公司)	
18. Ownership chart (Signed by Director) 持股架构图 (董事签名)	
19. Private Placement Memorandum, PPM 基金说明书(如适用) Management Service Agreement 管理合约 (如适用)	
20. Certified true copy of Investment Management Agreement for the appointment of Fund Manager (if applicable)委任基金经理 (如适用) 的投资管理协议的经认证真确 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) 其海外注册代理人之证书及海外公司注册官签发的信誉证书及经认证有关的董事委任记 录 (适用于海外公司)	

*** Document List of witness 见证人身份所需文件清单 (Example of Witness: SFC licensed person, Certified Public Accountant , Lawyer) (见证人身份例子: 证监会持牌人, 执业会计师, 律师)	
1. Self-certified ID copy of witness 已签署之身份证明文件副本	
2. Certified copy of professional qualification documents 已签署之专业资格证明文件之 副本	