

 <p>國投證券有限公司</p>	<p>Gransing Securities Co., Limited 國投證券有限公司</p> <p>Checklist - Documents to be provided by Investor for account opening</p> <p>開戶文件清單</p>	
Item	Documents 所需文件	
<p>A. For Individual Account 個人或聯名帳戶</p>		
1	Account Opening Form (Individual /Joint Account) 開戶書 (個人/聯名帳戶)	
2	客戶風險承受能力問卷 Client Risk Tolerance Level Questionnaire	
3	HKID copy / Passport copy 香港身份證 / 護照 副本	
4	Address Proof issued within 3 months 有效期 3 個月的住址證明	
5	Corresponding Address Proof issued within 3 months 有效期 3 個月的通訊地址證明	
6	FATCA Form W-8BEN (Not US Individual)/ W-9 (US Entities) 美國(海外帳戶稅收合規法案)表格: 非美國人- W-8BEN, 美國人- W-9	
7	Authorization Letter For Margin Clients (applicable to open margin account) 保證金客戶授權函件 (適用於開設保證金帳戶)	
8	Self-Certification Form – Individual 自我證明表格 – 個人	
9	有關實施香港投資者識別碼制度同意函 Hong Kong Investor Identification Regime (HKIDR) Consent Letter	
<p>B. For Corporate Account 公司帳戶</p>		
1	Account Opening Form (Corporate Account) 開戶書 (公司帳戶)	
2	客戶風險承受能力問卷 Client Risk Tolerance Level Questionnaire	
3	Business Registration (if applicable) 商業登記證 (如適用)	
4	Certificate of Incorporation 公司註冊證	
5	Memorandum & Article of Association 公司組織及章程	
6	Broad Resolutions 有關開設戶口之董事決議	
7	ID/ Passport copy of Directors 董事香港身份證 / 護照 副本	
8	A Certificate of Incumbency / Registered Agents Certificate 董事及高級人員在職證明書/註冊代理證書	
9	Certificate of Good Standing or document(s) to the same extent 公司存續證明書或作用相同的文件	
10	Register of Directors 董事記錄	
11	Register of Members 股東記錄	
12	HKID copy / Passport copy of all authorized persons 董事及授權人之香港身份證 / 護照 副本	
13	Address Proof of residence issued within 3 months 有效期 3 個月的住址證明	
	#For item 3-13, Certified true Copies must be signed by a Lawyer / CPA / Company Director #3-13 項文件須經執業律師、執業會計師、或公司董事認證。	
14	Confirmation of Comply with Anti-Money Laundering (“AML”) and Counter – Financing of Terrorism (“CTF”) Requirements 遵守反洗錢 (“AML”) 及反恐融資 (“CTF”) 要求之確認書	
15	FATCA Form W-8BEN-E (Not US Entity) / W-9 (US Entity) 美國(海外帳戶稅收合規法案)表格: 非美國法人- W-8BEN-E, 美國法人- W-9	
16	Authorization Letter for Margin Clients (applicable to open margin account) 保證金客戶授權函件 (適用於開設保證金帳戶)	

17	Deed of Guarantee (applicable to open margin account for Corporate clients) 擔保書 (適用於公司戶口開設保證金帳戶)	
18	Self-Certification Form – Entity 自我證明表格 – 實體	
19	Self-Certification Form – Controlling Person 自我證明表格 – 控權人	
20	有關實施香港投資者識別碼制度-機構客戶同意函 Hong Kong Investor Identification Regime (HKIDR) - Corporate Client Consent Letter	

C. Professional Investor 專業投資者		
1	Account Opening Form (Individual / Corporate Account) 開戶書 (個人/公司帳戶)	
2	客戶風險承受能力問卷 Client Risk Tolerance Level Questionnaire	
3	Professional Investor Form_ (Individual / Corporate) 專業投資者(個人/公司帳戶)表格	
4	HKID copy / Passport copy 香港身份證 / 護照 副本	
5	Address Proof issued within 3 months 有效期 3 個月的住址證明	
6	Evidence of a portfolio of at least HK\$8 million or their equivalent in foreign currency within 12 months 提供過往 12 個月內投資組合顯示結餘 8 百萬或等值外幣結餘	
7	Evidence of 40 transactions per annum 每年最少 40 筆投資交易證明	
8	Evidence of 2 years dealing experience 最少兩年的投資經驗證明	
9	FATCA Form W-8BEN (Not US Individual) / W-8BEN-E (Not US Entity) / W-9 (US Entity) 美國(海外帳戶稅收合規法案)表格: 非美國人- W-8BEN, 非美國法人- W-8BEN-E, 美國人/法人- W-9	
10	Authorization Letter for Margin Clients (applicable to open margin account) 保證金客戶授權函件 (適用於開設保證金帳戶)	
11	Self-Certification Form – Individual (Individual Account) / Self-Certification Form – Entity (Corporate Account) 自我證明表格 – 個人 (個人或聯名帳戶) / 自我證明表格 – 實體 (公司帳戶)	
12	Self-Certification Form – Controlling Person (Corporate Account) 自我證明表格 - 控權人 (公司帳戶)	
13	有關實施香港投資者識別碼制度同意函 Hong Kong Investor Identification Regime (HKIDR) Consent	