



Gransing Securities Co., Limited 國投證券有限公司

Checklist - Documents to be provided by Investor for account opening 開戶文件-清單

國投證券有限公司

Documents 所需文件

Item	A. For Individual / Joint Account 個人或聯名帳戶	
1	Account Opening Form (Individual / Joint Account) 開戶書 (個人/聯名帳戶)	
2	Client Risk Tolerance Level Questionnaire 客戶風險承受能力問卷	
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	Hong Kong Investor Identification Regime (HKIDR) Consent Letter 有關實施香港投資者識別碼制度同意函	
Item	B. For Corporate Account 公司帳戶	
1	Account Opening Form (Corporate Account) 開戶書 (公司帳戶)	
2	Client Risk Tolerance Level Questionnaire 客戶風險承受能力問卷	
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	Annual Return 周年申報表	
8	ID/ Passport copy of Directors 董事香港身份證 / 護照副本	
9	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	
10	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	
11	Register of Directors 董事記錄	
12	Register of Members 股東記錄	
13	HKID copy / Passport copy of all authorized persons 董事及授權人之香港身份證 / 護照副本	
14	Address Proof of residence issued within 3 months 有效期 3 個月的住址證明	
	#For item 3-14, Documents that are not original copies to be certified true copy by company secretary or independent parties (eg, notary public or lawyers) or certified public/professional accountant. #3-14 項非原件的文件必須經過公司秘書或獨立方 (例如公證人或律師) 或註冊會計師/專業會計師認證為真實本。	
15	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	
16	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	
17	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)	

18	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)	
19	Self-Certification Form – Entity 自我證明表格- 實體	
20	Self-Certification Form – Controlling Person 自我證明表格- 控權人	
21	Hong Kong Investor Identification Regime (HKIDR) - Corporate Client Consent Letter 有關實施香港投資者識別碼制度-機構客戶同意函	

Item	C. For 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	Hong Kong Investor Identification Regime (HKIDR) Consent 有關實施香港投資者識別碼制度同意函	