

Document Checklist	Individual	Company incorporated in HK	Company incorporated in China	Company incorporated overseas	Listed Corporation	Trust	Unauthorised funds	Investment Vehicle (SPV)	Institutional PI
文件清單	個人	香港註冊公司	中國註冊公司	境外註冊公司	上市公司	信託	私募基金	投資實體	機構專業投資者
All documents should be original copy or certified true photocopy by a professional person as defined in the account opening form. 所有相關文件需為正本或經專業人士核實副本，"專業人士"在開戶表格中有相關釋義。									

Individual's documents 個人文件									
1) Ultimate owner's valid ID certificate and documents (HKID, passport, PRC ID, HK&Macau Entry and Exit Permit) 實益擁有人有效身份證明文件(香港身份證、護照、大陸身份證、往來港澳通行證)	√	√	√	√			√	√	
2) Director's valid ID certificate and documents (HKID, passport, PRC ID, HK&Macau Entry and Exit Permit) 董事的有效身份證明文件(香港身份證、護照、大陸身份證、往來港澳通行證)		√	√	√	√	√		√	√ (Letter from the HR/Compliance Department of the client is also)
3) Legal Representative's valid ID certificate and documents (HKID, passport, PRC ID, HK&Macau Entry and Exit Permit) 法定代表人的有效身份證明文件(香港身份證、護照、大陸身份證、往來港澳通行證)			√						
4) Authorised person's valid ID certificate and documents (HKID, passport, PRC ID, HK&Macau Entry and Exit Permit) 被授權人的有效身份證明文件(香港身份證、護照、大陸身份證、往來港澳通行證)		√	√	√	√	√	√	√	√ (Letter from the HR/Compliance Department of the client is also)
5) Third-party authorised person's valid ID certificate and documents (HKID, passport, PRC ID, HK&Macau Entry and Exit Permit) 第三方被授權人的有效身份證明文件(香港身份證、護照、大陸身份證、往來港澳通行證) (Note: address proof for the authorised person is also required 被授權人亦需提供地址證明)	如適用	如適用	如適用	如適用					
6) Address proof 個人地址證明 (utility bill, bank statement, etc 水電費單、銀行對賬單等)	√	√	√	√		√	√	√	
7) Proof for the qualification of the investment decision maker 投資決策人投資背景證明文件		√	√	√	√	√	√	√	
8) Assets proof 資產證明	如適用	如適用	如適用	如適用	如適用	如適用	√	√	

Corporate Documents 法團文件									
1) Certificate of Incorporation 公司註冊證書		√		√		√	√	√	√
2) Business Registration 商業登記證		√							√
3) M&A 組織大綱及章程		√		√		√	√	√	
4) Business Certificate 營業執照			√						
5) Institutional Code Certificate 組織機構代碼證			√						
6) Article of Association 公司章程			√						√
7) Tax Registration 稅務登記證			√						
8) Register of Directors 董事名單				√		√	√	√	√
9) Register of shareholders/members 股東名單				√		√	√	√	
10) Incumbency 現任職位說明書				√		√	√	√	
11) Shareholding Chart 股權架構圖		√	√	√		√	√	√	√
12) Organizational Chart 內部人員架構圖		√	√	√		√	√		
13) Business address proof 公司地址證明		√	√	√					
14) Annual Return 週年申報表		√							

