

HSBC Broking Services (Asia) Limited 滙豐金融服務（亞洲）有限公司
HSBC Broking Securities (Asia) Limited 滙豐金融證券（亞洲）有限公司
HSBC Broking Futures (Asia) Limited 滙豐金融期貨（亞洲）有限公司
HSBC Broking Forex (Asia) Limited*¹ 滙豐金融外匯（亞洲）有限公司*¹

Points to Note for Account Opening (Corporate Account) **開設戶口注意事項（公司戶口）**

Please refer to the following list on the required information and visit us at Level 25, HSBC Main Building, 1 Queen's Road Central, Hong Kong for account opening.

請參考下列開戶時所需提供的文件及資料，並親臨香港皇后大道中 1 號香港上海滙豐銀行總行大廈 25 樓開設戶口。

Please provide:

請提供：

1. HSBC Bank Account Information in the name of account holder (eg latest HSBC bank statement within the last 3 months)
載有戶口持有人名稱的香港上海滙豐銀行戶口資料（例如香港上海滙豐銀行最近三個月內發出銀行戶口結單）
2. Liquid Assets Proof with HKD1 million or above issued within the last 3 months (eg bank statements showing HKD1 million or above and/or any other liquid assets proof)
最近三個月內發出港幣一百萬元或以上流動資產證明（例如銀行結單顯示港幣一百萬元或以上及／或其他流動資產證明）
3. Certificate of Incorporation (original or certified true copy certified by Certified Public Accountant/Lawyer/Notary Public/Hong Kong Institute of Chartered Secretaries Member)
公司註冊證書（正本或由執業會計師或律師或公證人或香港特許秘書公會會員認證的經認證真本）
4. Valid Business Registration Certificate (original or certified true copy certified by Certified Public Accountant/Lawyer/Notary Public/Hong Kong Institute of Chartered Secretaries Member)
有效商業登記證（正本或由執業會計師或律師或公證人或香港特許秘書公會會員認證的經認證真本）
5. Memorandum and Article of Association (original or certified true copy certified by Certified Public Accountant/Lawyer/Notary Public/Hong Kong Institute of Chartered Secretaries Member)
公司組織章程（正本或由執業會計師或律師或公證人或香港特許秘書公會會員認證的經認證真本）
6. Original or certified true copy certified by Certified Public Accountant/Lawyer/Notary Public/Hong Kong Institute of Chartered Secretaries Member of Resolution of the Board of Directors authorising account opening (and Authorised Signatories and Authorised Traders)
正本或由執業會計師或律師或公證人或香港特許秘書公會會員認證的董事會決議案經認證真本以授權開設戶口（及授權簽署人和授權交易人）
7. Identification document of the ultimate beneficial owners, guarantor(s), authorised trader(s), authorised signatories, directors, authorised person to transfer fund and/or securities, and key controller(s) (together referred as "Relevant Person") (original or certified true copy certified by Certified Public Accountant/ Lawyer/Notary Public/Hong Kong Institute of Chartered Secretaries Member)
最終實益擁有人、保證人、授權交易人、授權簽署人、董事、授權提取款項及／或證券代表、及主要管理人（統稱「有關人士」）的身份證明文件（正本或由執業會計師或律師或公證人或香港特許秘書公會會員認證的經認證真本）
 - a) If the Relevant Person is a Hong Kong permanent resident, please provide Hong Kong identity card.
如有關人士是香港永久性居民，請提供香港身份證。
 - b) If the Relevant Person is a Hong Kong non-permanent resident, please provide Hong Kong identity card and nationality proof such as a valid passport/photo-bearing travel document.
如有關人士是非香港永久性居民，請提供香港身份證及國籍證明，例如有效旅遊護照或載有照片的有效旅遊文件。
 - c) If the Relevant Person is a non-Hong Kong resident, please provide nationality proof such as a valid travel document and Hong Kong immigration entry record (if necessary).
如有關人士是非香港居民，請提供國籍證明，例如有效旅遊文件及香港入境紀錄（如需要）。
8. Latest audited financial statement of the company in the name of account holder (If this document is unavailable, please provide either (i) the latest management accounts; or (ii) the latest audited statements/management accounts of its parent company; or (iii) the bank account statements in the name of account holder issued by the last consecutive 3 months) (Original or certified true copy certified by Certified Public Accountant/Lawyer/Notary Public/Hong Kong Institute of Chartered Secretaries Member)
最近經審核載有戶口持有人名稱的公司財務報表（如未能提供，請提供（i）最近的管理會計報告；或（ii）其母公司最近經審核的財務報表／管理會計報告；或（iii）最近連續三個月的公司銀行結單）（正本或由執業會計師或律師或公證人或香港特許秘書公會會員認證的經認證真本）

9. Residential address proof² of guarantor, ultimate beneficial owner, any 2 of key controllers³ (if different from the above mentioned Relevant Person) (and permanent address proof if different) such as utility bills or correspondence from a Government department/agency issued within the last 3 months
保證人及最終實益擁有人及任何 2 位主要管理人³（如同以上所提有關人士不同）的住宅地址證明²（及永久地址證明如不同），例如最近三個月內發出載有住宅地址的公用事業賬單或政府部門或機構信函
10. Business Address proof issued within the last 3 months (if different from registered address)
最近三個月內發出的營業地址證明（如與註冊地址不同）
11. If you declare as an ultimate beneficial owners, individual guarantor(s), authorised trader(s), authorised signatories, directors, authorised person to transfer fund and/or securities, and key controller(s) who is/are currently a licensed representative or responsible officer of a licensed corporation; a relevant individual or executive officer of a registered institution; an employee of a licensed corporation or registered institution; or an employee of HSBC Global Services (Hong Kong) Limited ("Regulated Person"), please provide the written consent from employer(s).
如您申報作為最終實益擁有人、個人保證人、授權交易人、授權簽署人、董事、授權提取款項及／或證券代表、及主要管理人及為持牌人士／負責人員；或受聘於任何註冊機構並出任為相關／行政人員；或受聘於任何持牌／註冊機構之僱員；或受聘於 HSBC Global Services (Hong Kong) Limited 之僱員（受規管人士），請提供僱主所發出的同意書。

If the company which is incorporated in Hong Kong, please provide:
如公司是在香港註冊，請提供：

12. Company search report or annual return issued within the last 6 months (certified true copy certified by Company Registry/Certified Public Accountant/ Lawyer/Notary Public/Hong Kong Institute of Chartered Secretaries Member)
最近六個月發出公司查冊報告或周年申報表（由公司註冊處或執業會計師或律師或公證人或香港特許秘書公會會員認證的經認證真本）

If the company which is not incorporated in Hong Kong, please provide:
如公司不是在香港註冊，請提供：

13. Certified true copy of Certificate of Incumbency (certified by professional party/registered agent) or equivalent issued by company's registered agent in the place of incorporation or a similar or comparable document to a company search report or a certificate of incumbency issued within the last 6 months
最近六個月內發出經專業人事或公司註冊代理人發出職權證明書經認證真本或同等於公司註冊代理發出公司成立地證明書或公司查冊報告或職權證明書等相關的文件

If the company structure is more than one layer, please provide:
如公司是多於一層架構，請提供：

14. Ownership structure chart (original or certified true copy certified by director)
公司架構圖（正本或由董事認證的經認證真本）
15. Document listed above in point 3, 4, 5, 11 and 12 are also required to provide if applicable for each layer of the multi-layer company.
多層結構公司每層需提供於上述第 3、4、5、11 及 12 點列出的文件（如適用）。

We will also ask the Account Holder and Relevant Person to provide the following information where appropriate (all documents must be in English/Chinese):

如有需要，我們可能要求戶口持有人及有關人士提供以下資料（所有文件需以英文或中文顯示）：

- Initial and ongoing sources of wealth and source of fund
初始及往後財富來源及資金來源
- Jurisdiction of Residence (that is the place where the applicant is liable to taxation by reason of residence) and Taxpayer Identification Number or its Functional Equivalent (TIN)
居留司法管轄區（即申請人因居民身份而有責任納稅款的地方）及稅務編號或具有等同功能的識別編號（稅務編號）
- Place of incorporation and nature of business
公司註冊地點及業務性質

For more details, please refer to the Account Opening Form and Customer Information Statement (Corporate Account) and Information Statement for Other Relevant Person(s) in our website below.

詳情請參考於以下網站的開戶表格及客戶資料聲明書（公司戶口）及資料聲明書（其他有關人士）。

<https://www.hsbc.com.hk/broking/help/forms/> (English 英文)

<https://www.hsbc.com.hk/zh-hk/broking/help/forms/> (Chinese 中文)

Please note that the above information is for your reference only. You may be asked to provide supplementary documents and/or information if necessary. We may also need to take a copy of the required document and address proof² if it is deemed appropriate. If you have any questions, please contact our service hotlines on (852) 2521 1661/(852) 3989 8181 during 8.30am to 5.30pm from Mondays to Fridays (except public holidays) or visit us at Level 25, HSBC Main Building, 1 Queen's Road Central, Hong Kong.

請注意，以上資料只是一般的開戶參考。如有需要，我們可能要求您提供額外文件及／或資料。在認為適當時，我們亦可能要求您提供個人身份證明文件及居住地址證明^{*2}的副本。如您有任何查詢，請於星期一至星期五（公眾假期除外）早上八時三十分至下午五時三十分致電我們的服務熱線（852）2521 1661／（852）3989 8181 或親臨香港皇后大道中 1 號香港上海滙豐銀行總行大廈 25 樓。

Please inform us promptly if there are any changes of your information and respond promptly to request for information from us during and after the account opening process.

如在開戶過程中及之後您的資料有任何變更，請盡快通知我們並盡快回應我們就提供客戶資料上的任何要求。

- ¹ Leveraged foreign exchange trading is not available to persons resident in the People's Republic of China.
槓桿式外匯買賣服務不會提供予中華人民共和國居民。
- ² Residential Address (and permanent address if different) is the main address at which relevant person lives ie address at which relevant person spends the majority of the time. Address proof with a Post Office box or C/O address is not acceptable. The acceptance of address proof may vary from time to time and is subject to our final decision.
住宅地址（及永久地址如不同）指有關人士居住的主要地址，即有關人士於該地址度過大部分時間。我們不接受以郵政信箱或轉交地址作為地址證明。可接受的地址證明會不時更改，是否接受地址證明則視乎我們的最終決定。
- ³ A Key Controller is an individual or a body corporate who is elected or appointed to exercise direct control over an entity, by participating in the governance or senior executive activities of the entity. Key Controllers typically set the strategic direction of the entity and may exercise control jointly with other directors/senior executives. The title given to a Key Controller varies but, most commonly, a Key Controller will include the Chief Executive Officer (CEO), Chief Financial Officer (CFO), Managing Partner and Chairman of the Board.
主要管理人是指被選出或委任參與公司管治或高級行政工作而行使直接控制權的人士或法人團體。主要管理人一般會制定公司的策略方針，並且可與其他董事／高級管理層共同行使控制權。主要管理人的職銜不盡相同，最常見的職銜包括行政總裁、財務總監、執行合夥人及董事會主席。

Note: The English version shall prevail in the event of any inconsistency between the English and Chinese versions.

註：中英文本如有任何歧義，概以英文本為準。