



黃河證券有限公司
Yellow River Securities Limited

Yellow River Securities Limited
黃河證券有限公司
Participant of The Stock Exchange of Hong Kong Limited.
Licensed Corporation with the SFC(CE No.:BIX927)
香港聯合交易所參與者。
證監會持牌法團中央編號 BIX927
Room 2701B, 27/F, Tower 1, Admiralty Center,
18 Harcourt Road, Admiralty, Hong Kong
香港金鐘夏愨道 18 號海富中心第一座 27 樓 2701B 室

For company registration in Hong Kong, please provide the following documents:

香港註冊公司請提供以下文件：

1.	Account Opening Form (Corporate Account) 開戶表格 (公司賬戶)
2.	Form W-8BEN-E 表格 W-8BEN-E
3.	Self Certification Form (Entity) Eng 自我證明表格- 實體
4.	Self Certification Form (Controlling person) Eng 自我證明表格- 控權人
5.	Copies of ID cards or passports for authorized persons, directors, shareholders and UBOs in the account application form 開戶申請書內授權人士、董事、股東及最終實益持有人之身份證 / 護照副本
6.	Residential Address Proof (latest 3 months) of the above persons(e.g. utility bills /bank statements within the latest 3 months) 全部上述人士最近 3 個月住址證明 (如近 3 個月水電煤賬單 / 銀行月結單)
7.	A certified copy of the Business Registration Certificate of the Applicant 申請人商業登記證的核證副本
8.	A certified copy of Certificate of Incorporation 註冊成立證書的核證副本
9.	A certified copy of Memorandum and Articles of Association or other constitutive documents 組織章程大綱及章程細則或其他公司章程性質文件的核證副本
10.	Latest Annual Return (Form NAR1); and Notice of Change of Company Secretary and Director (Appointment/Cessation) (Form ND2A), if applicable; 最新的周年申報表 (表格 NAR1) ; 及更改公司秘書及董事通知書 (委任/停任) (表格 ND2A) (如適用) If the company has been established for less than one year, please provide NNC1 如果公司成立不滿一週年, 請提供 NNC1
11.	Signed ownership structure chart (including intermediate owners, UBOs, registration numbers, places of incorporation and shareholding ratios) 董事簽署股權架構圖 (含中介持有人、最終實益擁有人、註冊編號、註冊地、持股比例)
12.	If an ultimate beneficiary is not an Applicant, a certified copy of the Certificate of Incorporation、the Business Registration Certificate、MA、NAR1 (if a corporation) or a copy of the ID card / passport (if an individual) of the ultimate beneficiary 倘申請人並非最終實益擁有人, 則須隨附最終實益擁有人的註冊成立證書、商業登記證核證副本、章程、NAR1 (如屬公司) 或身份證/護照副本 (如屬個人)
13.	Company bank account certificate (such as monthly statement of the Hong Kong company account or account opening certificate, used for deposit and withdrawal) 公司銀行賬戶證明 (例如: 香港公司賬戶月結單或開戶證明, 適用於資金出入)

14.	Board Minutes/Resolution that specifies (1) that the Company wishes to open account at Yellow River Securities Limited; and (2) Specimen Signature of Authorized Person(s) 董事會會議記錄/決議註明(1)該公司希望於黃河證券有限公司開立賬戶;及(2)授權人士簽名式樣
15.	Copy of the witness's license 見證人執照副本
16.	Any other documents and/or information as YRSL may reasonably requires 合理情況下黃河證券需要的其他文件或資料

Remark 備注:

1.All copy of documents submitted to our company (The option files for items 5 to 13 in the above list) should be certified true with signature and date by a practicing solicitor or a practicing accountant. Alternatively, the same documents could be certified true by the designated staff at our Office upon your presenting the originals and copies. (Designated staff means personnel of Accounts and Compliance Department).

所有提交本公司的副本文件(上述清單5~13選項文件)須經執業律師或執業會計師認證簽署並寫上日期。申請人亦可攜同文件正本及副本到本公司給指定職員認證(指定職員指內部會計及合規部職員);

2.All documents must be clear, complete, free from alterations, and have a validity period that complies with the requirements of the brokerage firm.

所有文件需確保清晰完整、無塗改、有效期符合券商要求;

3.If any documents are missing or do not meet the requirements, it will cause delays in the account opening process. 若有文件缺失或不符合要求, 会导致開戶審核延誤。



<u>Please provide the following documents for the Overseas Incorporated Company Account:</u> <u>海外註冊公司帳戶請提供以下文件：</u>	
1.	Account Opening Form (Corporate Account) 開戶表格 (公司賬戶)
2.	Form W-8BEN-E 表格 W-8BEN-E
3.	Self Certification Form (Entity) Eng 自我證明表格- 實體
4.	Self Certification Form (Controlling person) Eng 自我證明表格- 控權人
5.	Copies of ID cards or passports for authorized persons, directors, shareholders and UBOs in the account application form 開戶申請書內授權人士、董事、股東及最終實益持有人之身份證 / 護照副本
6.	Residential Address Proof (latest 3 months) of the above persons(e.g. utility bills /bank statements within the latest 3 months) 全部上述人士最近 3 個月住址證明 (如近 3 個月水電煤賬單 / 銀行月結單)
7.	A certified copy of Memorandum and Articles of Association or other constitutive documents 組織章程大綱及章程細則或其他公司章程性質文件的核證副本
8.	A certified copy of Certificate of Incorporation 註冊成立證書的核證副本
9.	A certificate of incumbency, or Registered Agents Certificate identifying the current directors and officers, verified or issued by the registered agent of the Company 經本公司註冊代理核證或發出確認現任董事及高級人員的在聯證書或註冊代理證書
10.	Register of Directors 董事登記冊
11.	Details of the true beneficial ownership of the company (e.g. Register of Shareholders) 公司實益擁有權的真確資料 (如: 股東登記冊)
12.	Signed ownership structure chart (including intermediate owners, UBOs, registration numbers, places of incorporation and shareholding ratios) 董事簽署股權架構圖 (含中介持有人、最終實益擁有人、註冊編號、註冊地、持股比例)
13.	If an ultimate beneficiary is not an Applicant, a certified copy of the Certificate of Incorporation、the Business Registration Certificate、MA、NAR1 (if a corporation) or a copy of the ID card / passport (if an individual) of the ultimate beneficiary 倘申請人並非最終實益擁有人, 則須隨附最終實益擁有人的註冊成立證書、商業登記證核證副本、章程、NAR1 (如屬公司) 或身份證/護照副本 (如屬個人)
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15.	Proof of business address 業務地址證明
16.	Board Minutes/Resolution that specifies (1) that the Company wishes to open account at Yellow River Securities Limited; and (2) the List of Authorized Signatories 董事會會議記錄/決議註明 (1) 該公司希望於黃河證券有限公司開立賬戶; 及 (2) 授權人士簽名式樣
17.	Copy of the witness's license 見證人執照副本
18.	Any other documents and/or information as YRSL may reasonably requires 合理情況下黃河證券需要的其他文件或資料

Remark 備注:

1.All copy of documents submitted to our company (The option files for items 5 to 14 in the above list) should be certified true with signature and date by a practicing solicitor or a practicing accountant. Alternatively, the same documents could be certified true by the designated staff at our Office upon your presenting the originals and copies. (Designated staff means personnel of Accounts and Compliance Department).

所有提交本公司的副本文件 (上述清單 5~14 選項文件) 須經執業律師或執業會計師認證簽署並寫上日期。申請人亦可攜同文件正本及副本到本公司給指定職員認證 (指定職員指內部會計及合規部職員);

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