

Yellow River Securities Limited

黃河證券有限公司

香港聯合交易所參與者 · 證監會持牌法團中央編號 BIX927

Participant of The Stock Exchange of Hong Kong Limited · Licensed Corporation with the SFC (CE No.: BIX927)

Unit D, 4/F, Trust Tower, 68, Johnston Road, Wan Chai, Hong Kong

For Hong Kong registered companies, the following documents should be provided with the application:

香港註冊公司須連同申請書及附上以下文件:

1.	Copies of the HONG KONG ID cards/passports of the Authorised Persons/directors/substantial shareholders/ ultimate principal beneficial owners named in the Securities Trading Account Application. 列名於證券交易帳戶申請書各授權人士/董事/股東/最終實益持有人之身份證/護照的副本。
2.	Address proof of residence (e.g. water/electricity/gas bills/bank statement within the recent 3 months) of the authorized persons / directors/substantial shareholders/ ultimate principal beneficial owners. 授權人士/董事/股東/最終實益持有人之住址證明 (如最近三個月印有授權人士/董事/股東/最終實益持有人姓名的水電煤氣等賬單或銀行月結單等)。
3.	A certified copy of the Business Registration Certificate of the Applicant. 申請人商業登記證的核證副本。
4.	A certified copy of Certificate of Incorporation. 註冊成立證書的核證副本。
5.	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。
6.	An accurate and up-to-date list of the current directors and officers. 正確及最近期的現任董事及人員名單。
7.	A certified copy of board resolutions approving the terms and authorising the execution of the Client Agreement. 批准本合約條款及按上述形式簽署本合約董事會決議案的核證副本。
8.	Shareholding Structure Chart. 股權架構圖。
9.	If an ultimate beneficiary is not an Applicant, a certified copy of the Certificate of Incorporation and the Business Registration Certificate (if a corporation) or a copy of the Hong Kong 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及商業登記證核證副本(如屬公司)或身份證/護照副本(如屬個人)。
10	FATCA - US Citizen Declaration_Company FATCA Form W8-BEN-E
11	Self Certification Form (Entity) Eng 自我證明表格 - 實體 Self Certification Form (Controlling person) Eng 自我證明表格 - 控權人

Remark 備註:

All copy of documents submitted to our company 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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For B.V.I. and other non-Hong Kong registered companies, the following documents should be provided with the application:

英屬處女群島及其他香港境外註冊公司須連同申請書及附上以下文件:

1.	Copies of the HONG KONG ID cards/passports of the Authorised Persons / directors / substantial shareholders / ultimate principal beneficial owners named in the Securities Trading Account Application 列名於證券交易帳戶申請書各授權人士/董事/股東/最終實益持有人之身份證/護照的副本。
2.	Address proof of residence e.g. water / electricity / gas bills / bank statement (within the recent 3 months) of the authorized persons / directors/substantial shareholders/ ultimate principal beneficial owners. 授權人士/董事/股東/最終實益持有人之住址證明 (如最近三個月印有授權人士/董事/股東/最終實益持有人姓名的水電煤氣等賬單或銀行月結單等)。
3.	Certified copy of Memorandum and Articles of Association. 組織章程大綱及章程細則的核證副本。
4.	Certified copy of Certificate of Incorporation. 註冊成立證書的核證副本。
5.	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職證書或註冊代理證書。
6.	A Certificate of Good Standing or document to the same extent, showing if the corporation is more than 12 months old, a current copy of the receipt of license fee issued by the relevant Registrar of Companies, or a document remitting the fee and stamped as having arrived at the Registers office. 顯示公司已成立 12 個月以上的已繳稅證書或作用相同的文件、最近期由有關公司註冊處發出的牌照費收據副本或匯費文件並由公司註冊處辦事處蓋章以示收妥。
7.	Certified copy of Resolution of Company's Board authorising the opening of the account(s) and directors persons authorized. 授權開立帳戶及獲授權董事/人士的公司董事會決議案的核證副本。
8.	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)
9.	Register of Directors. 董事登記冊。
10.	Deed of Guarantee and Indemnity. 擔保及彌償契據。
11.	FATCA - US Citizen Declaration Company FATCA Form W8-BEN-E and/or FATCA Form-W8IMY
12.	Self Certification Form (Entity) Eng 自我證明表格 - 實體 Self Certification Form (Controlling person) Eng 自我證明表格 - 控權人

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