Plutus Securities Limited
貝德斯證券有限公司

Office: Suite 906, 9/F, Chinachem Golden Plaza, 77 Mody Road, TST, Kowloon
辦公地址： 九龍尖沙咀麼地道 77 號華懋廣場 9 樓 906 室
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Licensed Corporation with the Securities and Future Commission ("SFC") (CE No. BNJ530) and Exchange Participant of The Stock Exchange of Hong Kong Ltd.
為證券及期貨事務監察委員會（"證監會"）註冊之持牌法團（CE 編號 BNJ530）及香港聯合交易所有限公司參與者。

Account Opening Checklist 帳戶開立資料檢查表

Client Name
客戶名稱: _____

Account Number
帳戶號碼: _____

Please tick as appropriate 請在適當項目加上「✓」號

For Individual/Joint Account 個人/聯名帳戶		
1	Client Information Form – Individual/Joint Account 客戶資料表 – 個人/聯名帳戶	
2	W-8BEN Form W-8BEN 表格	
3	CID Declaration 客戶識別信息收集聲明	
4	Risk Profile Questionnaire 風險承受能力問卷	
5	AML Assessment Form – Individual/Joint Account 打擊洗錢評估表格- 個人/聯名帳戶	
6	Chinese Mainland Investor Declaration Form (if applicable) 中國內地投資者聲明書 (如適用)	
7	Professional Investor Application Form (if applicable) 專業投資者申請表 (如適用)	
8	Professional Investor Assessment Form (if applicable) 專業投資者評估表格 (如適用)	
9	Notice of Treatment as Professional Investor (if applicable) 專業投資者通知 (如適用)	

For Corporate Account 公司帳戶		
1	Client Information Form – Corporate Account 客戶資料表 – 公司帳戶	
2a	W-8BEN-E Form W-8BEN-E 表格	
2b	W-8IMY Form W-8IMY 表格	
3	Self-Certification Form – Entity 自我證明表格-實體	
4	Self-Certification Form – Controlling Person 自我證明表格-控制人	
5	CID Declaration 客戶識別信息收集聲明	
6	Risk Profile Questionnaire 風險承受能力問卷	
7a	AML Assessment Form – Corporate 打擊洗錢評估表格 – 公司帳戶	
7b	AML Assessment Form – Financial Institution 打擊洗錢評估表格 – 金融機構	
8	Professional Investor Application Form (if applicable) 專業投資者申請表 (如適用)	
9	Professional Investor Assessment Form (if applicable) 專業投資者評估表格 (如適用)	
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Supporting Documents for Individual/Joint Account 所需文件 - 個人/聯名帳戶		
1	HKID/PRC Resident ID/ID 香港身份證/中華人民共和國居民身份證/身份證	
2	Exit-Entry Permit/Passport with arrival slip 往來通行證/護照連入境標籤	
3	Address proof (e.g. bank statement, electricity bill, etc.,) within 3 months 最近3個月內之住址證明（如銀行結單，電費單等）	
4	Professional Investor Proof (e.g. bank statement, portfolio statement) (if applicable) 專業投資者證明（如銀行結單，資產組合報表）(如適用)	
5	Other document and/or information as Plutus may reasonably require 貝德斯合理情況下需要之其他文件及資料	
Supporting Documents for Corporate Account 所需文件 - 公司帳戶		
1	Board Resolution 董事會決議	
2	Organization Chart (Certified by director) 公司架構圖 (由董事核實)	
3	Certificate of Incorporation 公司註冊證書	
4	Business Registration Certificate (if any) 商業登記證 (如有)	
5	Latest Annual Return with sequence documents (if any) 最近週年申請表連同後續文件(如有)	
6	Certificate of Good Standing (For Overseas Company) 良好存續證明 (海外註冊公司適用)	
7	Certificate of Incumbency Standing (For Overseas Company) 董事在職證明書 (海外註冊公司適用)	
8	Register of Directors 董事登記冊	
9	Register of Members 成員登記冊	
10	Memorandum and Articles of Association 公司組織章程大綱及章程細則	
11	Latest Audited Report (if any) 最近核數報告 (如有)	
12	Identity Card/Passport of Shareholders, Directors, Authorized Signatories and Beneficiary Owners 股東, 董事, 獲授權簽署人及實益擁有人 之身份證/護照	
13	Professional Investor Proof (e.g. bank statement, portfolio statement) (if applicable) 專業投資者證明（如銀行結單，資產組合報表）(如適用)	
14	Other document and/or information as Plutus may reasonably require 貝德斯合理情況下需要之其他文件及資料	

Note 註: All copies must be witnessed and certified by the following persons 所有副本均須以下人士見證核實：

1. *Licensed or registered person by SFC 證監會持牌人或註冊人*
2. *JP (Justice of the Peace) 太平紳士*
3. *Professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary (ie current full member) 專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書(正式會員)*