

Cathay Securities (Hong Kong) Limited

Account Opening Document List

	Hong Kong			Overseas		
	Individual / Joint Name Account	Corporate Account	Institutional Professional Investor Account	Individual / Joint Name Account	Corporate Account	Institutional Professional Investor Account
Account Opening Forms						
Account Opening Form (Individual / Joint)	✓			✓		
Account Opening Form (Corporate)		✓			✓	
Account Opening Form (Institutional Professional Investor)			✓			✓
Relevant Person Information Sheet (inside Account Opening Form)		✓			✓	
W-8BEN Form	✓			✓		
Personal Guarantee / Company Guarantee from ultimate Beneficiary (inside Account Opening Form)		✓			✓	
Authorization Form for Third Party to Operate Account Form (inside Account Opening Form) ^[1]	✓	✓	✓	✓	✓	✓
Dealing Taiwan Financial Products – Customer Declaration ^[2]	✓	✓	✓	✓	✓	✓
W-8Ben-E Form OR W-8IMY Form ^[3]		✓	✓		✓	✓
Confirmation of Complying with Anti-Money Laundering (“AML”) and Counter-Financing of Terrorism (“CTF”) Requirement		✓	✓		✓	✓
CRS and FATCA Self Certification - Individual	✓			✓		
CRS and FATCA Self Certification - Controlling Person		✓	✓		✓	✓
CRS and FATCA Self Certification - Entity		✓	✓		✓	✓

Notes:

1. The form must be duly filled and signed by Client if he/she need to authorize third party to operate account. ID/Passport copy and address proof of authorized person must be provided with the form.
2. Client must duly filled and signed by Client if he/she want to trade Taiwan financial products.
3. W-8Ben-E form if Client is opening a House Account; W-8IMY Form if Client is opening a Client Account / Trust Account.

	Hong Kong			Overseas		
	Individual / Joint Name Account	Corporate Account	Institutional Professional Investor Account	Individual / Joint Name Account	Corporate Account	Institutional Professional Investor Account
Supporting Document						
Certified ^[1] True Copy of Hong Kong Identity Card of Client and Ultimate Beneficial Owner(s)	✓					
Certified ^[1] True Copy of Local Residential Identity Card and Passport of Client and Ultimate Beneficial Owner(s)				✓		
Certified ^[1] True Copy of Proof of Address within 3 months of Client and Ultimate Beneficial Owner(s)	✓			✓		
Certified ^[1] True Copy of Bank Statement Copy ^[2]	✓			✓		
Certified ^[1] True Copy of Business Registration Certificate		✓	✓		✓	✓
Certified ^[1] True Copy of Certificate of Incorporation or Change of Name Certificate		✓	✓		✓	✓
Certified ^[1] True Copy of Annual Return		✓	✓			
Specimen Signature List		✓	✓		✓	✓
Third Party Authorization with ID copy of Authorized Person(s) (with Authorized Persons' Certified ^[1] True Copy of ID Card / Passport)	✓	✓	✓	✓	✓	✓
Certified ^[1] True Copy of Proof of Address Within 3 Months		✓			✓	
Certified ^[1] True Copy of List of all Directors		✓	✓		✓	✓
Certified ^[1] True Copy of ID Card / Passport of all Directors & Substantial Shareholders ^[3]		✓	✓ ^[5]		✓	✓ ^[5]
Certified ^[1] True Copy of Memorandum & Articles of Association & Other Constitutional Documents		✓			✓	
Certified ^[1] True Copy of Board Resolutions (Or Board Resolution inside Account Opening Form) ^[4]		✓			✓	
Certified ^[1] True Copy of ID card / Passport of all signing officers		✓	✓		✓	✓
Certified ^[1] True Copy of Register of Members or equivalent document		✓			✓	
If the shareholder of the client is a company, obtain the Certified ^[1] True ID copy and Certified ^[1] True residential address proof (within 3 months) of individual who is the ultimate principal beneficial owner of the customer		✓			✓	

Standing Settlement Instruction OR Client Standing Settlement bank Account		✓	✓		✓	✓
Certified ^[1] true copy of Certificate of Incumbency and Certificate of Good Standing issued by the registered agent within the past 6 months (applicable to overseas corporations)					✓	✓
Certified ^[1] True Copy of Board Resolution authorizing the opening of securities accounts, execution of the account opening documents, and specifying authorized personnel(s) to sign documents or place order on behalf of the company with relevant specimen signature.			✓			✓
Latest Audited Accounts (If applicable)		✓	✓		✓	✓

Notes

1. Certification is only effective when it is signed off by third party professional (e.g. lawyer, accountant).
2. Clients are allowed to cover up financial information on monthly bank statement only if the bank name, account name, account number and issue date are clearly shown.
3. Major shareholder is defined as parties or individuals that hold the ultimate beneficial interest, or holding 10% (25% for non-high risk client) or more voting rights of the company.
4. Board resolutions or minutes of meeting confirming the account type (cash or margin), authorizing the execution of the Terms and Conditions for Securities Trading and / or the Terms and Conditions for Futures and Options Trading of Cathay Securities (Hong Kong) Limited, Customer Information Statement and specifying authorized personnel(s) to sign documents or place order on behalf of the company with relevant signatures specimen.
5. For Institutional Professional Investor, only Director's ID Card(s) / Passport(s) is / are required.

※ Securities Account shall not established for resident / citizen of the United States of America ※