

New Account Opening Guideline on Identity - Individual

	Face-to-Face 親身		Non Face-to-Face 未能親身
	HK Resident 香港居民	Non-HK Resident 非香港居民	
A. Required identity proof (Certified true copy¹) 身份證明要求(經核證的副本¹)			
(a) Hong Kong Permanent Identity Card (if not “permanent”, obtain (b) to verify nationality) 香港永久性居民身份證 (如不是 “永久性居民” 請按(b)作確認國籍)	<u>;</u> or <u>或</u> Y		Y
(b) Travel document with photograph 含照片的旅行證件		Y	Y
(c) Government or state-issued Identity Card / driving license ² with photograph 政府 或 國家發出的身份證/含照片的駕駛執照 ²	-		
(d) For non face-to-face client 未能親身面談客戶： (1) a certified ¹ copy of the above (a)-(c), requiring the certifier to witness the signature (a)-(c)項的副本，需見證人簽署作證明 ¹ <u>;</u> or <u>或</u> (2) an uncertified ¹ copy of the above (a)-(c), together with the following additional document to verify the name and signature: 如未獲見證人簽署作證明 ¹ 的(a)-(c)項副本，請連同下列文件一并交回，以作核證姓名及簽署模式 (i) a cheque of HK10,000 issued by a licensed bank in Hong Kong 由香港持牌銀行發出的 HKD10,000 支票 <u>;</u> or <u>或</u> (ii) document issued by governmental body 政府機構發出的文件 The cheque or document bearing client’s full name and signature must be the same as shown on our Customer Information Form. 支票及文件需註明客人的完整姓名及簽署模式需與客戶在本公司的資料表格相同。	-	-	Y
B. Required residential / permanent address proof³ 住宅/永久地址證明³			
(a) Utility bill issued within last 3 month 三個月內之公共設施使用單據 (如：煤氣結單、水費結單、電費結單)	<u>;</u> or <u>或</u>		
(b) Government correspondence issued within last 3 months 三個月內之政府通信信件	Y	Y	Y
(c) Statement issued by authorized institution / licensed corporation within 3 months 三個月內之認可機構/持牌法團結單 (如：銀行月結單、證券/基金公司結單)			
C. Others 其他			
(a) W-8BEN Form W-8BEN 表格	Y	Y	Y
(b) AEOI - Self Certification Form – Individual 自動交換財務帳戶資料 – 自我證明表格 – 個人			

1 The documents should be certified by designated persons (e.g. FORWIN Securities employees, lawyer, certified practising accountant). The certifier should sign and date the copy documents with his position/ capacity, and state it is the true copy of original. (The certifier should provide of authority unless available from online database).

所有開戶文件須經由特定人士核證 (如：富榮證券的職員、律師、執業會計師。) 核証人必須簽署及註明核証人本身的特定身分資料，並需要確認已核證 “正本”。(核証人需提供官方的職權證明)

2 International driving license is not acceptable.

不接受國際駕駛執照

3 Post office box address is not acceptable.

不接受郵政信箱地址

New Account Opening Guideline on Identity – Corporate

	General	Offshore (BVI etc)	FI / Licensed Corp	Gov't	Listed	Partnership	Trust
A. Identification Items							
(a) Full Name	Y	Y	Y	Y	Y	Y	Y
(b) Address of incorporation and principal place of business/ operations	Y	Y	Y	-	Y	Y	Y
(c) Date of incorporation/ establishment	Y	Y	Y	-	Y	-	Y
(d) Registration/ incorporation number	Y	Y	Y	-	Y	-	Y
(e) Full name of all directors	Y	Y	Y	-	Y	-	-
(f) Full name of all authorized persons	Y	Y	Y	Y ¹	Y	Y	-
(g) Full name of all beneficial owners ^{2/} partners	Y	Y	-	-	-	Y	Y
(h) Full name of trustee, settler, enforcers	-	-	-	-	-	-	Y
B. Required identity proof (Certified True Copy³)							
(a) Certificate of incorporation/ registration	Y	Y	Note ⁴	Note ⁵	Note ⁶	-	-
(b) Business Registration Certificate (if applicable)	Y	-	Y	-	Y	-	-
(c) List, Identification & Address proof issued within last 3 month:							
• all directors	Y	Y	Note ^{7&8}	-	-	-	-
• all authorized persons	Y	Y	Note ⁸	-	Note ⁸	-	-
• all shareholders/ beneficial owners/ partners	Y	Y	-	-	-	Y	Y
(d) Organizational Chart	Y						
(e) Certificate of incumbency (within 3 months)	-	Y	-	-	-	-	-
(f) Memorandum and Articles of association/ Private Placement Memorandum	Y	Y	-	-	-	-	-
(g) Partnership Deed/ Trust Deed	-	-	-	-	-	Y	Y
(h) Board Resolution (for account opening and full name(s) of authorized persons)	Y	Y	Y	-	Y	-	-
(i) Letter of Guarantee with guarantor's address proof (Margin account only)	Y						
C. Others							
(a) Latest Audited Accounts/ Management Account/ Certificate of Good Standing	Y			-			
(b) W-8BEN-E Form & W-8IMY Form (if any)	Y						
(c) AEOI - Self Certification Form – Entity & Controlling Person	Y						

- Individual who has authority to act in a governmental or legal capacity.
- Individual who owns 10% or more of the voting rights or shares, or ultimate control of the company.
- Item B (a)-(g) should be certified by designated persons (e.g. Forwin Securities employees, lawyer, certified practising accountant). The certifier should sign and date the copy documents with his position/ capacity, and state it is the true copy of original. (The certifier should provide proof of authority unless available from online database).
- Public registry record of FI name, address, license details, and responsible officers.
- Public registry record of government or public body.
- Exchange record of company's name, address, and directors.
- At least one director's identity card, who approves the board resolution for account opening.
- Certified by a department head/ manager of the client, who is independent to the persons whose identities are being verified (e.g. compliance, audit or human resources).