

List of Documents and information required for *corporate account* opening under Tiger Securities Asset Mgmt. Co. Ltd.

泰嘉證券資產管理有限公司開立公司帳戶所需的文件和資訊清單

I. Documents and Information Required

所需的文件和訊息：

Investors are required to provide **original** or **certified true copies** of all documents outlined under the applicable category

投資者需要提供所有適用類別下所列出的所有文件的**原件或經核証副本**

- I. **NOT Listed Company / Regulated Institution 非上市公司 / 受監管機構:**
1. Certificate of incorporation or equivalent (and certificate on change of name if applicable).
公司註冊證書或等同文件 (如適用, 需包含更改名稱的證書)
 2. Business registration certificate or equivalent (and name change document if applicable).
商業登記證書或等同文件 (如適用, 需包含名稱變更文件)
 3. Memorandum and Articles of Association and all amendments thereto.
公司章程細則及所有修訂
 4. Details of the ownership and structure control of the company, e.g. an ownership chart.
公司所有權及結構控制的詳細資訊, 例如所有權結構圖
 5. Details of the registered office and place of business.
註冊辦公室和營業地點的詳細資訊
 6. Latest Annual Return (and additional forms of the Hong Kong Registry or equivalent in the relevant jurisdiction indicating any subsequent change(s)).
最新的年度報告 (以及香港註冊處或相關司法管轄區的額外表格, 顯示任何後續變更)
 7. *[for companies incorporated in Hong Kong]* Company Search (i.e. Search of file at Hong Kong Company Registry). Copy shall be certified by a company registry or a professional third party. The company search should have been issued within the last 6 months. It is not sufficient for the report to be self-certified by the applicant.
[對於在香港註冊的公司] 公司搜尋 (即在香港公司註冊處的檔案搜尋)。複印件應由公司註冊處或專業第三方認證。公司搜尋應在最近6個月內發出。該報告不能由申請人自我認證
 8. *[for companies NOT incorporated in Hong Kong 對於非在香港註冊的公司]*
 - a. a certified true copy of a company search report issued within 6 months, certified by a company registry or professional third party; OR
由公司註冊處或專業第三方認證的在6個月內發出的公司搜尋報告的認證真實副本; 或
 - b. a certified true copy of a certificate of incumbency (within 6 months) or equivalent issued by the company's registered agent in the place of incorporation; OR
由該公司在註冊地的註冊代理發出的任職證明書 (在6個月內) 或等同文件的認證真實副本; 或
 - c. a certified true copy of a similar company search report or a certificate of incumbency certified

by a professional third party in the relevant jurisdiction verifying that such information is correct and accurate.

由相關司法管轄區的專業第三方認證的類似公司搜尋報告或任職證明書的認證真實副本，證明該資訊正確無誤

9. Register of members to confirm the names of the principal beneficial owners (any person directly or indirectly holding a 10% or more interest or with principal control over the company' s assets).

會員登記冊，確認主要實益擁有者的名字（任何直接或間接持有公司資產10%或更多利益，或對公司資產有主要控制權的人）

10. Register of directors to confirm the names of all directors.

董事登記冊，確認所有董事的名字

11. Identification evidence of all the following persons in line with the requirements of the "INDIVIDUALS" category 根據“個人”類別的要求，提供以下所有人的識別證明：

- a. all directors 所有董事;
- b. all authorized signatories; and 所有授權簽名人；和
- c. each principal beneficial owner (any person holding a 10% or more interest or with principal control over the company' s assets).

每一位主要實益擁有者（任何持有公司資產10%或更多利益，或對公司資產有主要控制權的人）

12. Signed board resolution authorizing the investment in the Fund.

經董事會簽署的決議，授權投資於基金

13. Signed board resolution conferring authority on the authorised signatories to give instructions and do any acts and things necessary in connection with the Fund.

經董事會簽署的決議，賦予授權簽名人給予指示並做任何與基金相關的必要行為和事情

14. Authorised signatory list with specimen signatures.

帶有範本簽名的授權簽人名單

15. The latest available financial statement, where appropriate.

適當的話，提供最新的財務報表

II. Listed Company / Regulated Institution 上市公司 / 受監管機構：

1. Certificate of incorporation or equivalent (and certificate on change of name if applicable).
公司註冊證書或等同文件（如適用，需包含更改名稱的證書）
2. Business registration certificate or equivalent (and name change document if applicable).
商業登記證書或等同文件（如適用，需包含名稱變更文件）
3. Memorandum and Articles of Association and all amendments thereto.
公司章程細則及所有修訂
4. Details of the registered office and place of business.
註冊辦公室和營業地點的詳細資訊

5. Evidence of being a Listed Company in an approved exchange / a Regulated Institution (e.g. extract from Bloomberg / Reuters / Stock Exchange / Regulator website).
證明為在認可交易所上市的公司/ 受監管機構的證據 (例如 Bloomberg / Reuters / 股票交易所 / 監管機構網站的摘錄)
6. Latest Annual Return (and additional forms of the Hong Kong Registry or equivalent in the relevant jurisdiction indicating any subsequent change(s)).
最新的年度報告 (以及香港註冊處或相關司法管轄區的額外表格 · 顯示任何後續變更)
7. Register of directors to confirm the names of all directors.
董事登記冊 · 確認所有董事的名字
8. Identification evidence of all the following persons in line with the requirements of the “INDIVIDUALS” category 根據 “個人” 類別的要求 · 提供以下所有人的識別證明：
 - a. at least 2 directors; and 至少2位董事；和
 - b. all authorized signatories. 所有授權簽名人
9. Signed board resolution authorizing the investment in the Fund.
經董事會簽署的決議 · 授權投資於基金
10. Signed board resolution conferring authority on the authorised signatories to give instructions and do any acts and things necessary in connection with the Fund.
經董事會簽署的決議 · 賦予授權簽名人給予指示並做任何與基金相關的必要行為和事情
11. Authorised signatory list with specimen signatures.
帶有範本簽名的授權簽人名單
12. The latest available financial statement, where appropriate.
適當的話 · 提供最新的財務報表

III. Additional Requirements 額外要求:

If the company invests for its own account 如果公司為自身賬戶進行投資:

1. Confirmation that the investment is made for the company' s own account and not on behalf of any other party (a statement on the subscription form or a signed letter will satisfy this requirement).
確認投資是為公司自身賬戶進行 · 並非代表其他任何方 (在訂閱表格上的聲明或簽署的信件可滿足此要求)
2. Confirmation of source of funds for investment (a statement on the subscription form or a signed letter will satisfy this requirement).
確認投資的資金來源 (在訂閱表格上的聲明或簽署的信件可滿足此要求)

Address Verification 地址驗證

1. A recent utility bill issued within the last 3 months
最近三個月內發出的水電煤等公共事業費用單據
2. Phone (including mobile phone), internet service or pay television statement issued within the last 3 months
最近三個月內發出的電話 (包括手機) 、網路服務或付費電視帳單
3. Recent correspondence from a Hong Kong or overseas Government department or agency (e.g. tax demand note or Government rates demand note) issued within the last 3 months
最近三個月內從香港或海外政府部門或機構收到的信件 (例如稅單或政府稅費需求單)
4. A statement or an advice issued by a bank, a licensed corporation or an insurance company within the last 3 months
最近三個月內由銀行、持牌公司或保險公司發出的對帳單或通知
5. A letter issued by a Hong Kong university or college within the last 12 months (e.g. Notice of tuition fee or letter of admission) that confirms residence at a stated address
最近12個月內由香港的大學或學院發出的信件 (例如學費通知書或入學通知書) 確認在指定地址居住
6. A letter issued by an immediate family member within the last 3 months confirming that you live at that address in Hong Kong, setting out the relationship between you and the immediate family member, together with evidence that the immediate family member resides at the same address (for persons such as students and housewives who are unable to provide proof of address of their own name)
最近三個月內由直系家庭成員發出的信件，確認閣下在香港該地址居住，並說明閣下與直系家庭成員的關係，以及證明直系家庭成員也住在同一地址的證據 (適用於無法提供自己名下地址證明的人，如學生和家庭主婦)
7. A letter from a Hong Kong nursing or residential home for the elderly or disabled issued within the last 3 months confirming the residence of you
最近三個月內由香港護理或老年人或殘疾人中心發出的信件，確認閣下在該處居住
8. A Hong Kong tenancy agreement which has been duly signed stamped by the Inland Revenue Department issued within the last 24 months
最近24個月內由內地稅務局簽署蓋章的香港租賃協議
9. A Lawyer' s confirmation of property purchase, or legal document recognizing title to property issued within the last 3 months
最近三個月內的購買房產的律師確認信，或法律文件確認房產擁有權
10. A letter from a Hong Kong employer issued within the last 3 months together with proof of employment that confirms residence at a stated address in Hong Kong
最近三個月內由香港雇主發出的信件，連同證明就業的證明，確認閣下在香港指定地址居住
11. A current Hong Kong domestic helper employment contract stamped by an appropriate Consulate issued within the last 24 months and a copy of your visa within validity date

最近24個月內由相應領事館蓋章的香港當地家庭助手就業合約，以及閣下有效期內的簽證副本

12. For non-Hong Kong residents, a valid government-issued photographic driving license or national identity card containing the current residential address or bank statements issued by a bank
RESTRICTED

對於非香港居民，有效的政府發出的帶有照片的駕駛執照或國家身份證，其中包含當前居住地址，或由一家銀行發出的銀行對帳單

13. An acknowledgement of receipt duly signed by you in response to a letter sent by our bank within the last 3 months to the address provided by you

閣下簽名確認收悉的由我們銀行最近三個月內寄送到閣下提供的地址的信件收據

14. A record of a visit to the residential address by our company officer within the last 3 months

敝公司職員最近三個月內訪問住宅地址的記錄

Remarks 備註:

- If your address proof is not in English or Chinese, a certified translation by a professional third party (e.g. lawyers, notaries, actuaries, CPA, persons or institutions who provide company secretarial service, consulates) should be provided.

如果您的地址證明不是英文或中文，應提供專業第三方（例如律師、公證人、精算師、會計師、提供公司秘書服務的人或機構、領事館）的認證翻譯

- Address proof with a "c/o company address", "c/o personal address", commercial address or PO box is not acceptable.

帶有“c/o公司地址”、“c/o個人地址”、商業地址或郵政信箱的地址證明不被接受

- Address printed on envelopes is not acceptable

印在信封上的地址不被接受

NOTE:

1. This list is not exhaustive and is subject to change. The Fund or Investment Manager may require other documentation in addition to the items in the above checklist.
2. FATF – Financial Action Task Force (www.fatf-gafi.org).
3. A Listed Company is a corporation listed on an approved exchange. An approved exchange is a recognised stock exchange in a country which is a member of FATF or a specified stock exchange as defined under the Securities and Futures Ordinance (but excluding those exchanges in Non-Cooperative Countries and Territories as listed by the FATF).
4. A Regulated Institution is a financial institution regulated by an approved regulator. Approved regulators are Securities and Futures Commission, Insurance Authority or an equivalent authority in a jurisdiction that is a FATF member or a country with equivalent standards of anti-money laundering to those of the FATF.
5. Where the company has an ownership structure which is made up of several layers, please follow the chain of ownership (with reference to the ownership chart submitted by the client) and provide identification documents of the individuals who are the ultimate beneficial owners in line with the “INDIVIDUALS” category. [AML Guideline 4.9.15]
6. Certified true copy is acceptable from a suitable certifier, such as lawyer, auditor, professional accountant, notary public, member of the judiciary, or a third party regulated institution in a jurisdiction that is a FATF member. The certifier should sign and date the copy document (printing his name clearly in capitals underneath) and clearly indicate his position or capacity, together with a contact address and phone number. The certifier must indicate that the document is a true copy of the original and that the photo is a true likeness of the individual. Where documents are not in English, a notarized translation is required.