

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

泰嘉證券資產管理有限公司開立個人或聯名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

1. Identification. 身份證明文件
2. Name of client. 客戶姓名
3. Nationality. 國籍
4. Date of Birth. 出生日期
5. Residential address (and permanent address if different).  
居住地址 ( 如果與永久地址不同，請提供永久地址 )
6. Occupation, position and of years spent in the occupation. (A statement on the subscription form or a signed letter will satisfy this requirement.) 職業、職位以及在該職業中工作的年數。( 填寫訂閱表格或簽署的信件即可滿足此要求 )
7. Source of funds for investment. (A statement on the subscription form or a signed letter will satisfy this requirement.)  
投資資金來源。( 填寫訂閱表格或簽署的信件即可滿足此要求 )
8. [Hong Kong Residents 香港居民]  
Hong Kong Identity Card or Certificate of Exemption issued by Hong Kong Government  
香港身份證或香港政府發出的豁免證書
9. [PRC Residents 中國居民]
  - Exit-Entry Permit for Travelling to and from Hong Kong and Macau / Taiwan Travel Permit for Mainland Residents / Exit-Entry Permit for Travelling to and from Hong Kong and Macau for Official Purposes (PRC Identity Card or Temporary PRC Identity Card is also required for above holder of Chinese Travel Permit), or  
往來香港和澳門的出入境許可證/大陸居民對台灣的旅行許可證/往來香港和澳門公務的出入境許可證 ( 持有上述中國旅行許可證的人還需要中國身份證或臨時中國身份證 )，或
  - Valid PRC passport with admission stamp placed by Hong Kong Immigration Department.  
有效的中國護照，並在香港入境時由香港入境事務處蓋章
10. [Macau SAR Residents 澳門特區居民]
  - Macau Identity card, and 澳門身份證，以及
  - Landing slip issued by Hong Kong Immigration Department or Macau SAR Residents Visit Permit to Hong Kong SAR  
由香港入境事務處發出的登陸紙或澳門特別行政區居民訪港許可證
11. [Other Countries Residents 其他國家居民]

Valid passport or Seaman's Identity Book with valid record of entry to Hong Kong

有效護照或海員身份證，並有有效的香港入境記錄

#### 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的回據

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 注意:

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.

此列表並非全面，可能會有變動。基金或投資經理可能需要除上述清單外的其他文件

2. FATF – Financial Action Task Force ([www.fatf-gafi.org](http://www.fatf-gafi.org)).

FATF – 財務行動特別組織 ([www.fatf-gafi.org](http://www.fatf-gafi.org))

3. 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.

可以接受適當證明人的真實副本認證，例如律師、審計師、專業會計師、公證人、司法機構成員，或在FATF成員國的受監管的第三方機構。證明人應在副本文件上簽名和註明日期（在下面清晰地以大寫印出他的名字），並清楚地註明他的職位或身份，以及聯繫地址和電話號碼。證明人必須指出該文件是原件的真實副本，並且照片是個人的真實肖像。如果文件不是英文，則需要公證翻譯