

# Great Roc Capital Securities Limited

## 鴻鵬資本證券有限公司

香港聯合交易所參與者，證監會持牌法團中央編號AXG710

Participant of The Stock Exchange of Hong Kong Limited, Licensed Corporation with the SFC (CE No.: AXG710)

香港干諾道中168-200號信德中心西翼16樓1601-1603室

Suites 1601-1603, 16/F., West Tower, Shun Tak Centre, 168-200 Connaught Road Central, Hong Kong

**For Hong Kong registered companies, the following documents should be provided with the application:**

**香港註冊公司須連同申請書及附上以下文件:**

1.	Copies of the HONG KONG ID cards/Passports of the Authorised Persons/Directors/Substantial Shareholders/ Ultimate principal beneficial owners named in the Securities Trading Account Application. 列名於證券交易帳戶申請書各授權人士/董事/股東/最終實益持有人之身份證/護照的副本。
2.	Address proof of residence (e.g. water/electricity/gas bills/bank statement within the recent 3 months) of the directors/substantial shareholders/ ultimate principal beneficial owners. 董事/股東/最終實益持有人之住址證明 (如最近三個月印有董事/股東/最終實益持有人姓名的水電煤氣等賬單或銀行月結單等)。
3.	Address proof of residence (e.g. bank statement within the recent 3 months) of the Applicant. 申請人之地址證明 (如最近三個月印有申請人名稱的銀行月結單)。
4.	A certified true copy of the Business Registration Certificate of the Applicant. 申請人商業登記證的核證副本。
5.	A certified true copy of Certificate of Incorporation. 註冊成立證書的核證副本。
6.	A certified true copy of Memorandum and Articles of Association or other constitutive documents. 組織章程大綱及章程細則或其他公司章程性質文件的核證副本。
7.	A certified true copy of Annual Return. 公司周年申報表的核證副本。
8.	Original copy of board resolutions approving the terms and authorising the execution of the Client Agreement. 批准本合約條款及按上述形式簽署本合約董事會決議案的正本。
9.	If an ultimate beneficiary is not an Applicant, a certified copy of the Certificate of Incorporation and the Business Registration Certificate (if a corporation) or a copy of the Hong Kong ID card / passport (if an individual) of the ultimate beneficiary. 倘申請人並非最終實益擁有人，則須隨附最終實益擁有人的註冊成立證書及商業登記證核證副本(如屬公司)或身份證/護照副本(如屬個人)。

**Remark 備註:**

**All copy of documents submitted to our company should be certified true with signature and date by a practicing solicitor or a practicing accountant. Alternatively, the same documents could be certified true by the designated staff at our Office upon your presenting the originals and copies. (Designated staff means personnel of Accounts and Compliance Department).**

所有提交本公司的副本文件須經執業律師或執業會計師認證簽署並寫上日期。申請人亦可攜同文件正本及副本到本公司給指定職員認證。(指定職員指內部會計及合規部職員)