



## LEI SHING HONG SECURITIES LTD.

### ACCOUNT OPENING

#### Account Opening Information

1. Account Opening Forms
  - a. Corporate Account [download.pdf](#)
  - b. Individual/Joint Account [download.pdf](#)
2. Personal Information Collection Statement under Hong Kong Investor Identification Regime (HKIDR) & Over-the-counter Securities Transactions Reporting Regime (OTCR) [download.pdf](#)
3. Self-Certification Forms
  - a. Individual [download.pdf](#)
  - b. Entity [download.pdf](#)
  - c. Controlling Person [download.pdf](#)
4. Processing of Personal Data as part of the Stock Connect Northbound Trading [download.pdf](#)
5. Terms and Conditions for Securities Trading [download.pdf](#)
6. Online Trading Agreement [download.pdf](#)

#### Supporting Documents

##### A. List of Documents to be provided by individual clients

1. A copy of the personal identification of clients, i.e. passport/identity card.
2. A copy of the address proof (issued within 3 months) of clients.
3. For overseas clients: -

(i) certified true copy for all personal identification and address proof (issued within 3 months)

(ii) their signatures have to be verified by a bank/CPA/lawyer/family practitioner.

**B. List of Documents to be provided by corporate clients**

1. A certified true copy of the Memorandum and Articles of Association, or its equivalent.
2. A certified true copy of the Certificate of Incorporation, or its equivalent.
3. A certified true copy of the Business Registration Certificate, or its equivalent
4. A Company's Minutes or extract of Minutes approving the opening of the account, including the list of authorised signatories, authorised person/persons to give verbal dealing instructions.
5. A certified true copy of the personal identification (i.e. passport/identity card) of each of the directors and authorised signatories.
6. A certified true copy of the list of directors detailing particulars of all directors; and directors' consent to act.
7. A certified true copy of Form D2-Company Secretary.
8. A copy of the correspondence address proof for offshore companies.
9. A certified true copy of the Certificate of Incumbency (issued within 6 months) for overseas registered companies.
10. For overseas clients, their signatures have to be verified by a bank / CPA / lawyer / company secretary.