

Applicant Name: _____

Check Points	Checking Results		
	Yes	No	Remarks
1. Account Application Form (Individual/Corporation)			
a. The form has been properly signed and dated in front of CS Officer if face-to-face)			
b. Applicant is not an existing client			
c. If Residential Address is found duplicate on Salesforce, is there sufficient reason for explanation? (e.g. apparent family or other circumstances)			
d. If Telephone Number is found duplicate on Salesforce, is there sufficient reason for explanation?			
4. If Email Address is found duplicate on Salesforce, is there sufficient reason for explanation?			
2. Identification proof			
a. The correct document type is provided by the applicant (e.g. HKID Card or passport copy, etc.).			
b. The copy of the document provided is a valid (no expired) government-issued document.			
c. The Identity Document bears the applicant's photo.			
The details in the Account Application Form match with the details on the identification proof.			
d. Full name;			
e. Date of birth;			
f. ID or passport number;			
g. Nationality (Not ADSS Blocked Country)			
3. Address proof (Individual/Corporate/Director/Authorized Signer/Beneficial Owner)			
a. The correct document type is provided by the applicant (e.g. utility bill, bank statement, credit card statement).			
b. The issue date of the residential proof valid within previous 3 months from the date of application.			
4. Bank Information (Corporate / Non-face-to-face only)			
a. The bank account holder name is the same as applicant's full name.			
b. The bank code has been provided and recorded correctly.			
c. The branch code has been provided and recorded correctly.			
d. The account number has been provided and recorded correctly.			
5. Signature and Identify Verification			

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Option 1: Face to Face (Individual/Corporate/Director/Authorized Signer/Beneficial Owner)

a. The original ID with photo sighted by the licensed representative.			
b. Risk Disclosure Statement has been provided to applicant and he/she has been invited to read the Statement by the licensed representative.			

Option 2: Personal Cheque (Individual / Non face-to-face only)

a. The signature on the cheque is the same as that on the Account and Application Form.			
b. The cheque bears the applicant's full name as provided on the Account Application Form.			
c. The cheque is made payable to "ADS Securities Hong Kong Limited".			

Check Points	Checking Results		
	Yes	No	Remarks
d. The cheque is issued at a minimum amount for HKD10,000 or more.			
e. The cheque is drawn on the applicant's account with a licensed bank in Hong Kong.			
f. The details of the cheque has been recorded and saved to Salesforce.			
g. The copy of the cheque made by the Client Services officer is clear and correct.			
h. The receipt of the cheque has been sent to the applicant by email.			
i. Risk Disclosure has been explained to applicant by phone by the licensed representative. (Please mark the date, time and extension No. at remarks)			Date: Time: Ext:

Option 3: Certification(Individual/Corporate/Director/Authorized Signer/Beneficial Owner)

a. The witness (certifier) is regulated and/or incorporated in, or operating from, a jurisdiction that is a FATF member or an equivalent jurisdiction(Not face-to-face).			
b. The witness signed on the copies of the documents provided with "CERTIFIED TRUE COPY" stated.			
c. Risk Disclosure has been explained to applicant by phone by the licensed representative. (Please mark the date, time and extension No. at remarks)			Date: Time: Ext:

6. Related Party

a. The applicant is NOT a related party of ADSSHK.			
b. Internal approval has been obtained from Compliance.			

7. Staff Account

a. The applicant is NOT related to ADSSHK staff.			
b. Internal approval has been obtained from Compliance.			

8. Employer Consent Letter

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a. The details of the applicant provided in the Account Application Form match with the details in the SFC public registry.			
b. The full name of the applicant provided in the Account Application Form matches with the details in the consent letter.			
c. The name of the employer provided in the Account Application Form matches with the details in the consent letter.			
d. The consent letter is properly signed by the representative of the applicant's employer.			
9. Signature			
a. The applicant's signature is scanned and uploaded to the back office system is clear and correct.			
10. Corporate Applicant			
a. Corporate ownership chart obtained (showing all beneficial owners more than 25%).			
b. All beneficial owners more than 25%/directors/authorized signers identified, ID and address proof obtained.			
Check Points	Checking Results		
	Yes	No	Remarks
c. All required corporate documents obtained and property certified.			
d. Board minutes for account opening/authorized signer obtained.			
e. Is applicant/associated with licensed corporation, financial institution or listed company?			
f. Company searched/Certificate of Incumbency obtained?			
11. Compliance Check			
a. AML passed and MD approval obtained if high risk client.			
12. Account Application Check			
a. Is Risk Profile Questionnaire signed and counted?			
b. Is the Standing Authority - Client Securities and Securities Collateral form duly signed? (TREX only)			
c. Is the Standing Authority - Client Money form duly signed?			
d. FATCA form signed? (W-8BEN OR W-8BEN-E)			

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[Client Services Officer]**Signature:** _____**Name:** _____**Date:** _____**[RO]****Signature:** _____**Name:** _____**Date:** _____