

**List of Documents and information required for opening an account under Tiger Securities
Asset Management Company Limited**

I. Documents and Information Required:

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

INDIVIDUALS	<p>I. Identification</p> <ol style="list-style-type: none"> 1. Name of client. 2. Nationality. 3. Date of Birth. 4. Residential address (and permanent address if different). 5. Occupation, position and of years spent in the occupation. (A statement on the subscription form or a signed letter will satisfy this requirement.) 6. Source of funds for investment. (A statement on the subscription form or a signed letter will satisfy this requirement.) 7. <i>[for Hong Kong permanent resident]</i> A certified true copy of Hong Kong Identity Card. 8. <i>[for Hong Kong non-permanent resident]</i> <ol style="list-style-type: none"> (i) A certified true copy of Hong Kong Identity Card; and (ii) a certified true copy of valid travel document (with the travel document's type, number and "biodata" page) <i>[AML Guideline 4.8.4]</i> / national ID card (with photo) / government documents certifying nationality. 9. <i>[for non-Hong Kong resident but physically present in Hong Kong]</i> a certified true copy of valid travel document (with the travel document's type, number and "biodata" page). <i>[AML Guideline 4.8.5]</i> 10. <i>[for non-Hong Kong resident and not physically present in Hong Kong]</i> a certified true copy of a valid travel document (with the travel document's type and number and "biodata" page) / national ID Card (with photo) / a valid national driving license (with photo). <i>[AML Guideline 4.8.6]</i> <p>II. Address Verification</p> <ol style="list-style-type: none"> 1. <i>[for any Hong Kong resident]</i> (Original/certified true copy issued within the last 3 months) Utility bill, bank/securities/insurance/mobile phone/pay TV statement, stamped HK domestic helper contract displaying full name, etc. (This list is non-exhaustive; please refer to 4.8.10 of the <i>SFC's Guideline on Anti-Money Laundering and Counter-Terrorist Financing</i> for more examples). P.O. Box mailing addresses are not acceptable.
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	<p>2. <i>[for any non-Hong Kong resident]</i> A valid national driving license / national ID card (with photo and residential address) / bank statements issued by a bank in a country which is a member of FATF. <i>[AML Guideline 4.8.10(n), 4.20.2]</i></p>
<p>CORPORATIONS</p>	<p>I. NOT Listed Company / Regulated Institution:</p> <ol style="list-style-type: none"> 1. Certificate of incorporation or equivalent (and certificate on change of name if applicable). 2. Business registration certificate or equivalent (and name change document if applicable). 3. Memorandum and Articles of Association and all amendments thereto. 4. Details of the ownership and structure control of the company, e.g. an ownership chart. 5. Details of the registered office and place of business. 6. Latest Annual Return (and additional forms of the Hong Kong Registry or equivalent in the relevant jurisdiction indicating any subsequent change(s)). 7. <i>[for companies incorporated in Hong Kong]</i> 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. 8. <i>[for companies NOT incorporated in Hong Kong]</i> <ol style="list-style-type: none"> a. a certified true copy of a company search report issued within 6 months, certified by a company registry or professional third party; OR 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 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. 9. Register of members to confirm the names of the principal beneficial owners (any person indirectly or indirectly holding a 10% or more interest or with principal control over the company's assets). 10. Register of directors to confirm the names of all directors. 11. Identification evidence of all the following persons in line with the requirements of the "INDIVIDUALS" category: <ol style="list-style-type: none"> a. all directors; b. all authorized signatories; and c. each principal beneficial owner (any person holding a 10% or more interest or with principal control over the company's assets).

12. Signed board resolution authorizing the investment in the Fund.
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.
14. Authorised signatory list with specimen signatures.
15. The latest available financial statement, where appropriate.

II. Listed Company / Regulated Institution:

1. Certificate of incorporation or equivalent (and certificate on change of name if applicable).
2. Business registration certificate or equivalent (and name change document if applicable).
3. Memorandum and Articles of Association and all amendments thereto.
4. Details of the registered office and place of business.
5. Evidence of being a Listed Company in an approved exchange / a Regulated Institution (e.g. extract from Bloomberg / Reuters / Stock Exchange / Regulator website).
6. Latest Annual Return (and additional forms of the Hong Kong Registry or equivalent in the relevant jurisdiction indicating any subsequent change(s)).
7. Register of directors to confirm the names of all directors.
8. Identification evidence of all the following persons in line with the requirements of the “**INDIVIDUALS**” category:
 - a. at least 2 directors; and
 - b. all authorized signatories.
9. Signed board resolution authorizing the investment in the Fund.
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.
11. Authorised signatory list with specimen signatures.
12. The latest available financial statement, where appropriate.

III. Additional Requirements:

If the company invests for its own account:

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).
2. Confirmation of source of funds for investment (a statement on the subscription form or a signed letter will satisfy this requirement).

	<p><i>If the company invests in the capacity of a nominee:</i></p> <p>Provide ADDITIONAL documents as outlined under the “NOMINEES” section.</p> <p><i>If the company is an investment vehicle:</i></p> <p>Provide ADDITIONAL documents as outlined under the “POOLED INVESTMENT VEHICLES” section.</p>
POOLED INVESTMENT VEHICLES	<ol style="list-style-type: none"> 1. Provide documents of the applicable category depending on the legal structure of the investment vehicle, i.e. CORPORATIONS, TRUSTS or PARTNERSHIP/UNINCORPORATED BUSINESS. 2. Evidence of formation / incorporation (e.g. trust deed, certificate of incorporation or equivalent, extract from regulators website or other appropriate documentation). 3. Extract from applicable commercial register (if any). 4. Prospectus (offering document) or equivalent. 5. Written confirmation that underlying investors have been identified and anti-money laundering checks have been carried out to the standard deriving from <i>Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615)</i> and the relevant guidelines / FATF on the underlying investors in the Pooled Investment Vehicle.
TRUSTS (other than Pooled Investment Vehicles)	<ol style="list-style-type: none"> 1. Certified true copy of executed Trust Deed. 2. General nature of the trust (e.g. family trust, pension trust, charitable trust, etc.) (A statement on the subscription form or a signed letter will satisfy this requirement). 3. Trust Information: (1) name of Trust, (2) date of Establishment, (3) Trust jurisdiction, (4) Trust ID no. granted by official bodies (if any, e.g. tax identification number or registered charity or non-profit organisation number), (5) settlor’s name(s), (6) beneficiary’s name(s) and (7) trustee’s name(s). [AML Guideline 4.9.28] 4. Identification evidence of all trustees, settlors, beneficial owners (i.e. entitled to a vested interest in not less than 10% of the capital of the trust property) and all authorized signatories, in line with all of the requirements for “CORPORATIONS” or “INDIVIDUALS”. If a beneficial owner is a company, please refer to item 5 under NOTE. [AML Guideline 4.9.15] 5. Signed board resolution/confirmation authorising the investment in the Fund. 6. Signed board resolution/confirmation conferring authority on the authorised signatories to give instructions and do any acts and things necessary in connection with the Fund. 7. Authorised signatory list with specimen signatures.

<p>PARTNERSHIPS/ UNINCORPORATED BUSINESS (other than Pooled Investment Vehicles)</p>	<ol style="list-style-type: none"> 1. Identification evidence of all partners and individuals who exercise control over the management of the partnership or unincorporated business, and individuals who own or control not less than 10% of its capital or profits or of its voting right, in line with all of the requirements under the applicable investor categories. <i>[AML Guideline 4.9.22]</i> 2. Business registration certificate or equivalent (and name change document if applicable). 3. Executed Partnership Deed/Agreement or constitution of the unincorporated business. <i>[AML Guideline 4.9.24]</i> 4. Mandate/resolution from the partnership or unincorporated business authorising the investment in the Fund. <i>[AML Guideline 4.9.22]</i> 5. Mandate/resolution conferring authority on the authorised signatories to give instructions and do any acts and things necessary in connection with the Fund. <i>[AML Guideline 4.9.22]</i> 6. Evidence of the detailed address of the partnership (P.O. Box mailing address is not acceptable). <i>[AML Guideline 4.9.22]</i> 7. Authorised signatory list with specimen signatures 8. Each authorised signatory's passport or official ID document with photograph, name, date of birth and nationality (and name change document if applicable) 9. Latest report and accounts (audited where applicable) 10. Confirmation of source of funds for investment (a statement on the subscription form or a signed letter will satisfy this requirement).
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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.*