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**AML/CTF KYC DUE DILIGENCE REQUIREMENTS FOR MCEX MEMBERSHIP APPLICATION**  
打擊洗錢/恐怖主義融資背景調查要求適用於滴灌通澳交所會員申請

The member of MCEX must be a (1) Regulated Financial Institution or (2) Regulated Financial Institution's wholly owned and controlled subsidiaries.

Definition of Regulated Financial Institution as below:

- a) a regulated financial institution that carries on the business of the provision of investment services in Macao or other jurisdictions;
- b) a regulated banking institution in Macao or other jurisdictions;
- c) a regulated insurance company in Macao or other jurisdictions;
- d) a regulated pension fund management company in Macao or other jurisdictions;
- e) a regulated collective investment scheme in Macao or other jurisdictions.

滴灌通澳交所的會員必須是 (1) 受監管金融機構; 或 (2) 受監管金融機構全資持有或具控制權的附屬公司

受監管金融機構的定義如下:

- a) 在澳門或其他司法管轄區提供投資服務的受監管金融機構;
- b) 在澳門或其他司法管轄區的受監管銀行機構;
- c) 在澳門或其他司法管轄區的受監管保險公司;
- d) 在澳門或其他司法管轄區註冊的受監管退休基金管理公司;
- e) 在澳門或其他司法管轄區的受監管集體投資計劃。

Applicants are required to provide certain supplemental documentation in connection with this application. Please note all documents listed below are required and must either be **originals or certified true copies**.

申請人必須在這份申請提供指定相關文件。所有文件必須是**原版或核證真實副本**的。

**CERTIFICATION OF DOCUMENTS 文件鑑證**

- Documents must be in one of the following formats - .pdf, .png, .jpg, .jpeg 文件必須是以下格式: pdf, .png, .jpg, .jpeg
- Should be visible in full, with all four corners captured (in case it is a photo/scan) 文件必須是清晰和正確的格式 (可以是照片或掃描)
- All the KYC documents should be clearly visible & in certified true copies 所有 KYC 文件應該清晰可見, 並經過認證為真實副本。
- Certification requirement: Documents that require certification should be certified by the professional below:  
文件鑑證要求: 文件需要由以下專業人士進行認證:
  - Certified public accountant 註冊會計師
  - Lawyer 律師
  - Chartered secretary (i.e., current member of The Chartered Governance Institute) 特許秘書
  - A member of the judiciary 司法人員
  - Board of Directors/Managers of the **applied** Regulated Financial Institutions entity in the membership form (**Only applicable for Regulated Financial Institutions**) 會員表格中所申請的受監管機構的董事或經理(**只適用於受監管金融機構**)
  - Notary Public 公證人

In addition, the following should be observed: 另外, 以下是認證要求:

- The certifier to clearly state his/her name and capacity 證明者詳細證明他/她的名字和職位
- The certifier to state that the document is a True Copy of the original (or words to similar effect) 證明者證明文件是正本之真實副本
- The certification to be completed within 3 months from the submission date 證書要在截至日期前三個月內提交

**SAMPLE of certification documents 證明文件樣本:**



Membership Category 會員申請種類	Requirements 要求
<p><b>(A) Nominee Accounts</b> <b>(Managed by Regulated Financial Institutions)</b> 只適用於代理人帳戶 (由受監管金融機構管理的公司)</p>	<ol style="list-style-type: none"> <li>1. Certificate of incorporation, or equivalent (certificates on change of name if applicable) 公司註冊證書，或同等證書（及公司轉換名字證明，如適用）</li> <li>2. Evidence of institution regulated in an approved country (e.g., extract from the official website of the regulatory authority) 機構在認可國家/地區屬於受監管的證據（例如：摘自監管機構官網）</li> <li>3. a) Signed board resolution authorising the investment and conferring authority on those giving instructions / Authorised signature list with specimen signatures (please refer to Appendix 2) 簽署的董事會決議，決議通過投資事項並授權給指示者及帶有樣本簽名的授權簽名列表 (請參閱附錄 2)  <b>OR 或</b> b) As an alternative, please provide a Director's Certificate (please refer to Appendix 3 for a template) with the same effect as the board resolution and the company's constitutional documents or other written authorization [Note: The company's constitutional documents or other written authorization must clearly demonstrate such Director has such power to issue the Director's Certificate to approve all the matters in relation to the transaction on behalf of the company] 如果無法提供 3 a) 所述董事會決議，請提供董事證明書 (請參閱附錄 3) 和公司的章程憲章文件或其他書面授權[注：公司憲章文件或其它授權文件須要明確表明該董事有權利代表公司簽署董事證明書，以代表公司批准任何與交易有關的事項]</li> <li>4. Written confirmation that underlying investors have been identified and anti-money laundering ("AML") checks have been carried out on the underlying investors. <b>(Please refer to Appendix 1)</b> 書面文件核證該投資者已進行身份和打擊洗錢的條款的檢查 (請參閱附錄 1)</li> <li>5. Any one senior management – (any personnel who is considered as a senior management of the entity) certified true copies of identification document and residential and permanent (if different) address proof e.g., copy of utility bill or bank statement issued within the last 3 months and displays name as per registration. <b>(Note: P.O. mailing addresses are not acceptable).</b> 高級管理人員 – (被視為實體高階主管的任何人員)的身份證明文件及常居地址證明 (經核證的真實身份證件複印件) 例：最近 3 個月內簽發的公用事業賬單或銀行對賬單副本，並顯示註冊時的姓名)。(請注意：郵政信箱是不被接受的)</li> <li>6. Individual documents for all authorised signatories 每位簽署人需提供個人核證證件 <ul style="list-style-type: none"> <li>• Valid identification documents with photography, name, date of birth and nationality (and name change document if applicable) 有效身份證明文件 (如曾更改姓名，請附上證明)</li> <li>• Residential and permanent (if different) address proof e.g., copy of utility bill or bank statement issued within the last 3 months and displays name as per registration. <b>(Note: P.O. mailing addresses is not acceptable).</b> 最新常居地址證明，例：最近 3 個月內簽發的公用事業賬單或銀行對賬單副本，並顯示註冊時的姓名)。(請注意：郵政信箱是不被接受的)</li> </ul> </li> <li>7. FATCA Form (If you are a US person, you will need to state it specifically in the form, and also fill up the relevant forms. For more information regarding the resident taxation, please refer to <a href="https://www.irs.gov/pub/irs-pdf/fw8bene.pdf">https://www.irs.gov/pub/irs-pdf/fw8bene.pdf</a>) FATCA 表格 (如果帳戶持有人是美國法律規定的美國稅收居民，則應在此表格上註明美國稅收居民身份，並且還需要填寫並提供相關表格。有關稅收居民的更多信息，請諮詢您的稅收顧問或以下鏈接中的信息：<a href="https://www.irs.gov/pub/irs-pdf/fw8bene.pdf">https://www.irs.gov/pub/irs-pdf/fw8bene.pdf</a>)</li> </ol> <p><b>Note: Additional documents may be required for verification subject to our KYC process.</b> 注：根據我們的 KYC 流程，可能需要額外的文件作為核證。</p>

<p><b>(B) Pooled Investment Vehicles (Managed by Regulated Financial Institutions Only)</b></p> <p><b>(i.e. Pension Fund, Hedge Fund, Private Equity Fund, Fund of Funds)</b></p> <p>由受監管金融機構管理的另類投資工具</p> <p>(如退休基金、對沖基金、私募股權基金、組合基金)</p>	<ol style="list-style-type: none"> <li>1. Evidence of institution regulated in an approved country (e.g., extract from the official website of the regulatory authority) 機構在認可國家/地區受監管的證據 (例如: 摘自監管機構官網)</li> <li>2. Evidence of formation/incorporation (e.g., certificate of incorporation or equivalent, extract from official website, or other appropriate documentation) 公司成立證明 (例如: 成立文件證明, 公司註冊證明或摘自監管機構官網)</li> <li>3. Extract from commercial register 公司註冊證明</li> <li>4. Fund Offering document or Investment Management Agreement (IMA) 投資管理協議</li> <li>5. Register of Directors 董事登記冊</li> <li>6. Any one senior management – (any personnel who is considered as a senior management of the entity) certified true copies of identification document and residential and permanent (if different) address proof e.g., copy of utility bill or bank statement issued within the last 3 months and displays name as per registration. <b>(Note: P.O. mailing addresses are not acceptable).</b> 高級管理人員 – (被視為實體高階主管的任何人員) 的身份證明文件及常居地址證明 (經核證的真實身份證件複印件) 例: 最近 3 個月內簽發的公用事業賬單或銀行對賬單副本, 並顯示註冊時的姓名) (請注意: 郵政信箱是不被接受的)</li> <li>7. Written confirmation that underlying investors have been identified and anti-money laundering ("AML") checks have been carried out on the underlying investors in the Pooled Investment Vehicle. <b>(Please refer to Appendix 1)</b> 書面文件核證該投資者已進行身份和打擊洗錢的條款的檢查 (請參閱附錄 1)</li> <li>8. a) Signed board resolution authorising the investment and conferring authority on those giving instructions / Authorised signature list with specimen signatures <b>(Please refer to Appendix 2)</b> 簽署的董事會決議, 決議通過投資事項並授權給指示者及帶有樣本簽名的授權簽名列表 (請參閱附錄 2)</li> </ol> <p><b>OR 或</b></p> <p>b) As an alternative, please provide a Director's Certificate (please refer to Appendix 3 for a template) with the same effect as the board resolution and the company's constitutional documents or other written authorization [Note: The company's constitutional documents or other written authorization must clearly demonstrate such Director has such power to issue the Director's Certificate to approve all the matters in relation to the transaction on behalf of the company] 如果無法提供 6 a) 所述董事會決議, 請提供董事證明書 (請參閱附錄 3) 和公司的章程憲章文件或其他書面授權[注: 公司憲章文件或其它授權文件須要明確表明該董事有權利代表公司簽署董事證明書, 以代表公司批准任何與交易有關的事項]</p> <ol style="list-style-type: none"> <li>9. FATCA Form (If you are a US person, you will need to state it specifically in the form, and also fill up the relevant forms. For more information regarding the resident taxation, please refer to <a href="https://www.irs.gov/pub/irs-pdf/fw8bene.pdf">https://www.irs.gov/pub/irs-pdf/fw8bene.pdf</a>) FATCA 表格 (如果帳戶持有人是美國法律規定的美國稅收居民, 則應在此表格上註明美國稅收居民身份, 並且還需要填寫並提供相關表格。有關稅收居民的更多信息, 請諮詢您的稅收顧問或以下鏈接中的信息: <a href="https://www.irs.gov/pub/irs-pdf/fw8bene.pdf">https://www.irs.gov/pub/irs-pdf/fw8bene.pdf</a>)</li> <li>10. Individual documents for all authorised signatories 每位簽署人需提供個人核證證件 <ul style="list-style-type: none"> <li>• Valid identification document(s) with photography, name, date of birth and nationality (and name change document if applicable) 有效身份證明文件 (如曾更改姓名, 請附上證明)</li> <li>• Residential and permanent (if different) address proof e.g., copy of utility bill or bank statement issued within the last 3 months and displays name as per registration. <b>(Note: P.O. mailing addresses are not acceptable).</b> 最新常居地址, 例: 最近 3 個月內簽發的公用事業賬單或銀行對賬單副本, 並顯示註冊時的姓名) (請注意: 郵政信箱是不被接受的)</li> </ul> </li> </ol> <p><b>Note: Additional documents may be required for verification subject to our KYC process.</b> 注: 根據我們的 KYC 流程, 可能需要額外的文件作為核證。</p>
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<p><b>(C) Trust entrusted with Regulated Trustee</b></p> <p>委託予受監管信託公司的信託</p>	<p><b>Regulated Trustee 受監管信託公司</b></p> <ol style="list-style-type: none"> <li>1. Certificate of incorporation, or equivalent (certificates on change of name if applicable) 公司註冊證書，或同等證書（及公司轉換名字證明，如適用）</li> <li>2. Evidence of institution regulated in an approved country (e.g., extract from the official website of the regulatory authority) 機構在認可國家/地區受監管的證據（例如：摘自監管機構官網）</li> <li>3. Written confirmation that the trustee has undertaken identify and anti-money laundering ("AML") checks on the settlors, the beneficiaries and any other natural persons (e.g., protector) exercising ultimate effective control over the trust. 書面文件核證受托人、受益人以及任何其他擁有對信託最終實際控制權的自然人（例如，保護人）已進行身份和打擊洗錢的條款的檢查</li> <li>4. <ol style="list-style-type: none"> <li>a) Signed board resolution authorising the investment and conferring authority on those giving instructions / Authorised signature list with specimen signatures (please refer to Appendix 2) 簽署的董事會決議，決議通過投資事項並授權給指示者及帶有樣本簽名的授權簽名列表（請參閱附錄 2）</li> </ol> <p><b>OR 或</b></p> <ol style="list-style-type: none"> <li>b) As an alternative, please provide a Director's Certificate (please refer to Appendix 3 for a template) with the same effect as the board resolution and the company's constitutional documents or other written authorization [Note: The company's constitutional documents or other written authorization must clearly demonstrate such Director has such power to issue the Director's Certificate to approve all the matters in relation to the transaction on behalf of the company] 如果無法提供 4 a) 所述董事會決議，請提供董事證明書（請參閱附錄 3）和公司的章程憲章文件或其他書面授權[注：公司憲章文件或其它授權文件須要明確表明該董事有權利代表公司簽署董事證明書，以代表公司批准任何與交易有關的事項]</li> </ol> </li> <li>5. Any one senior management – (any personnel who is considered as a senior management of the entity) certified true copies of identification document and residential and permanent (if different) address proof e.g., copy of utility bill or bank statement issued within the last 3 months and displays name as per registration. (Note: P.O. mailing addresses are not acceptable). 高級管理人員 – （被視為實體高階主管的任何人員）的身份證明文件及常居地址證明（經核證的真實身份證件複印件）例：最近 3 個月內簽發的公用事業賬單或銀行對賬單副本，並顯示註冊時的姓名（請注意：郵政信箱是不被接受的）</li> <li>6. Individual identification documents for all authorised signatories 每位簽署人需提供個人核證證件 <ul style="list-style-type: none"> <li>• Valid identification documents with photography, name, date of birth and nationality (and name change document if applicable) 有效身份證明文件（如曾更改姓名，請附上證明）</li> <li>• Residential and permanent (if different) address proof e.g., copy of utility bill or bank statement issued within the last 3 months and displays name as per registration. (Note: P.O. mailing addresses are not acceptable) 最新常居地址，例：最近 3 個月內簽發的公用事業賬單或銀行對賬單副本，並顯示註冊時的姓名（請注意：郵政信箱是不被接受的）</li> </ul> </li> </ol>
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	<p><b>Trust that is entrusted with Regulated Trustee 委託予受監管信託公司的信託</b></p> <p>7. Trust Deed or similar instrument 受託人按照信託協議或類似文件，應該至少包括以下關鍵信息：</p> <ul style="list-style-type: none"> <li>• Name of trust 信託之名稱;</li> <li>• Date of establishment/settlement 設立 / 契約日期;</li> <li>• Jurisdiction whose laws govern the arrangement as set out in the trust instrument 信託安排中訂定之適用法律管轄區;</li> <li>• Identification number, if any, granted by any competent authority (such as a tax identification number, registration number of a charitable or non-profit organization); 由任何有權限當局頒發之身份編號（例如稅務身份編號、慈善或非牟利組織之註冊編號）；</li> <li>• The identity of the trustee(s), settlor(s), beneficiaries, and any other persons involved in the structuring of the arrangement (e.g. a protector); and 受託人、信託人、受益人及有關安排結構所涉任何其他人士之身份（例如保護人）；及</li> <li>• General nature of the trust (e.g. family trust, pension trust, charitable trust) 信託的基本性質（例如家族信託、養老金信託、慈善信託等）</li> </ul> <p>8. a) Individual identification documents for all settlors, beneficiaries, and any other natural persons (e.g., protector) exercising ultimate effective control over the trust is a natural person, please provide below documents: 所有委託人、受益人和其他對信託行使最終有效控制的自然人（例如保護人）是自然人需提供個人核證證件：</p> <ul style="list-style-type: none"> <li>• Valid identification documents with photography, name, date of birth and nationality (and name change document if applicable); 有效身份證明文件（如曾更改名，請附上證明）</li> <li>• Residential and permanent (if different) address proof e.g., copy of utility bill or bank statement issued within the last 3 months and displays name as per registration. <b>(Note: P.O. mailing addresses are not acceptable)</b> 最新常居或永久永久居住（若有不同）地址，例：最近3個月內簽發的公用事業賬單或銀行對賬單副本，並顯示註冊時的姓名（請注意：郵政信箱是不被接受的）</li> </ul> <p>b) Where applicable, if any of the connected parties (e.g., settlor or protector (if applicable)) is a legal entity, please provide below documents: 如果任何關連人士屬於企業機構（例如信託人或保護人（適用時）），請提供以下文件：</p> <ul style="list-style-type: none"> <li>• Certificate of incorporation, or equivalent (certificates on change of name if applicable) 公司註冊證書，或同等證書（及公司轉換名字證明，如適用）</li> </ul> <p>c) Where applicable, if the beneficiary is a legal entity, please provide below additional documents: 如果信託的受益人屬於企業機構，請額外提供以下文件：</p> <ul style="list-style-type: none"> <li>• Certificate of incorporation, or equivalent (certificates on change of name if applicable) 公司註冊證書，或同等證書（及公司轉換名字證明，如適用）</li> <li>• Valid identification documents for the beneficial owner or ultimate controller of this connected party with photography, name, date of birth and nationality (and name change document if applicable) 該關聯人士的受益人或最終控制人的有效身份證明文件（如曾更改名，請附上證明）</li> <li>• Address proof of the beneficial owner or ultimate controller of this connected party e.g., copy of utility bill or bank statement issued within the last 3 months and displays name as per registration. <b>(Note: P.O. mailing addresses are not acceptable)</b>, and 該關聯人士的受益人或最終控制人的常居地址，例：最近3個月內簽發的公用事業賬單或銀行對賬單副本，並顯示註冊時的姓名（請注意：郵政信箱是不被接受的），以及。</li> <li>• Related documents (such as shareholding chart) to prove the ownership structure that shows the beneficial owner or ultimate controller holds 25% or more interests or with principal control over the company assets. 能夠證明所有權或</li> </ul>
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控制權結構（受益人或控制人持有 25%或以上權益或對公司資產擁有主要控制權）的相關證明材料（如組織結構圖）等。

9. FATCA Form (If you are a US person, you will need to state it specifically in the form, and also fill up the relevant forms. For more information regarding the resident taxation, please refer to <https://www.irs.gov/pub/irs-pdf/fw8bene.pdf>) FATCA 表格 (如果帳戶持有人是美國法律規定的美國稅收居民，則應在此表格上註明美國稅收居民身份，並且還需要填寫並提供相關表格。有關稅收居民的更多信息，請諮詢您的稅收顧問或以下鏈接中的信息：<https://www.irs.gov/pub/irs-pdf/fw8bene.pdf>)

**Note: Additional documents may be required for verification subject to our KYC process.**

注：根據我們的 KYC 流程，額外的文件或需要提供以作為核證。

<p><b>(D) Regulated Financial Institutions / Regulated Financial Institution's wholly owned and controlled subsidiaries</b></p> <p>受監管金融機構 / 受監管金融機構全資持有或具控制權的附屬公司</p>	<ol style="list-style-type: none"> <li>1. Certificate of incorporation or equivalent (and certificate on change of name if applicable) 公司註冊證書 (以及名稱更新證書, 如果適用)</li> <li>2. Details of the registered office and principal place of business if different 註冊辦事處和主要營業地點如不同的詳細信息</li> <li>3. Evidence of institution regulated in an approved country (e.g., extract from the official website of the regulatory authority) 機構在認可國家/地區屬於受監管的證 (例如: 摘自監管機構官網)</li> <li>4. Register of Directors (ROD) 董事登記冊</li> <li>5. Any one senior management – (any personnel who is considered as a senior management of the entity) or certified true copies of identification document and residential and permanent (if different) address proof e.g., copy of utility bill or bank statement issued within the last 3 months and displays name as per registration. 高級管理人員 - (被視為實體高階主管的任何人員) 的身份證明文件及常居地址證明 (經核證的真實身份證件複印件) 例: 最近 3 個月內簽發的公用事業賬單或銀行對賬單副本, 並顯示註冊時的姓名) (請注意: 郵政信箱是不能接受的)</li> <li>6. a) Signed board resolution authorising the investment and conferring authority on those giving instructions / Authorised signature list with specimen signatures (please refer to Appendix 2) 簽署的董事會決議, 決議通過投資事項並授權給指示者及帶有樣本簽名的授權簽名列表 (請參閱附錄 2)</li> </ol> <p><b>OR 或</b></p> <p>b) As an alternative, please provide a Director's Certificate (<b>please refer to Appendix 3 for a template</b>) with the same effect as the board resolution and the company's constitutional documents or other written authorization [<b>Note:</b> The company's constitutional documents or other written authorization must clearly demonstrate such Director has such power to issue the Director's Certificate to approve all the matters in relation to the transaction on behalf of the company] 如果無法提供 6 a) 所述董事會決議, 請提供董事證明書 (請參閱附錄 3) 和公司的章程憲章文件或其他書面授權[注: 公司憲章文件或其它授權文件須要明確表明該董事有權利代表公司簽署董事證明書, 以代表公司批准任何與交易有關的事項</p> <ol style="list-style-type: none"> <li>7. FATCA Form (If you are a US person, you will need to state it specifically in the form, and also fill up the relevant forms. For more information regarding the resident taxation, please refer to <a href="https://www.irs.gov/pub/irs-pdf/fw8bene.pdf">https://www.irs.gov/pub/irs-pdf/fw8bene.pdf</a>) FATCA 表格 (如果帳戶持有人是美國法律規定的美國稅收居民, 則應在此表格上註明美國稅收居民身份, 並且還需要填寫並提供相關表格。有關稅收居民的更多信息, 請諮詢您的稅收顧問或以下鏈接中的信息: <a href="https://www.irs.gov/pub/irs-pdf/fw8bene.pdf">https://www.irs.gov/pub/irs-pdf/fw8bene.pdf</a>)</li> <li>8. Where applicable, if the entity for the membership application is an unregulated financial institution, but it is Regulated Financial Institution's wholly owned and controlled subsidiaries, the following additional proof of documents showing the relationship between the regulated company vs. its wholly owned or controlling subsidiaries shall require 如適用, 如果申請會員的實體並不是受監管金融機構, 但它是受監管金融機構全資持有或具控制權的附屬公司, 將需要提供以下額外的文件證明, 以表明受監管的公司與申請機構的關係: <ul style="list-style-type: none"> <li>• Organization Chart showing ownership structure, or other equivalent documents which can be used to identify ultimate beneficial owner 文件顯示所有權結構的組織結構圖, 或可用於識別最終受益人</li> <li>• The ultimate beneficial owners (Individuals holding 25% or more interests or with principal control over the company assets) identification document and residential address proof (e.g., copy of utility bill or bank statement issued within the last 3 months and displays name as per registration) 最終受益人 (持有 25% 或以上權益或對公司資產擁有主要控制權的個人) 身份證明文件和居住地址證明 (例如, 最近 3 個月內簽發的公用事業賬單或銀行對賬單副本, 並顯示註冊時的姓名)</li> </ul> </li> </ol>
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	<p>9. Individual identification documents for all authorised signatories 每位簽署人需提供個人核證證件</p> <ul style="list-style-type: none"> <li>• Valid identification documents with photography, name, date of birth and nationality (and name change document if applicable) 有效身份證明文件 (如曾更改姓名, 請附上證明)</li> <li>• Residential and permanent (if different) address proof e.g., copy of utility bill or bank statement issued within the last 3 months and displays name as per registration. <b>(Note: P.O. mailing addresses are not acceptable).</b> 最新常居地址, 例: 最近 3 個月內簽發的公用事業賬單或銀行對賬單副本, 並顯示註冊時的姓名) (請注意: 郵政信箱是不被接受的)</li> <li>• Memorandum and articles of association of the unregulated entity. 不受監管的附屬公司其組織大綱和章程細則。</li> </ul> <p><b>Note: Additional documents may be required for verification subject to our KYC process.</b> 注: 根據我們的 KYC 流程, 可能需要額外的文件作為核證。</p>
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## Appendix 1: AML Representation Letter Sample

### REPRESENTATION LETTER TO BE OBTAINED FROM THE (“COMPANY/ INTERMEDIARY”) 呈請公司/中介合法代表權證書

Please note that if there are specific local clauses or requirements that need to be included, these can be added to the bottom of the text.

如有特別條款和要求, 請列入以下文章

Date: [date of the letter]

To: Micro Connect (Macao) Financial Assets Exchange Co., Ltd  
致: 滴灌通 (澳門) 金融資產交易所

Dear Sirs/Madams,  
致 先生們/女士們,

**Re: Anti-Money Laundering and Counter-Terrorist Financing Program**  
**關於: 打擊洗錢和反恐怖分子資金籌集指引**

We, [insert name of COMPANY/ INTERMEDIARY], confirm that we are regulated by [insert name of regulator] under authorisation number [insert authorisation number].

我們, [公司名稱/中介], 確定我們是被[管制機構名稱]管制的, 管制托權號碼是[ ]。

We confirm we have complied with all anti-money laundering and counter-terrorist financing (“AML/CTF”) laws and regulations applicable to us and that we have carried out all reasonable AML/CTF checks in respect to our clients in compliance with such laws and regulations.

我們確定我們已經符合了打擊洗錢及反恐怖分子資金籌集指引並且我們會執行所有有關的核查確保我們的客戶符合相關的規章和條例。

In particular, we confirm that:

具體上, 我們確定:

- we have established written AML/CTF policies and procedures and implemented an AML/CTF program that is reasonably designed to prevent and detect money laundering and any activity that facilitates money laundering, the funding of terrorist activities, consistent with the requirement of locally applicable laws and regulations. We have designated a compliance officer to oversight of the AML/CTF compliance program and a money laundering reporting officer (“MLRO”) to handle the identification and reporting of suspicious transactions to the relevant law enforcement agencies.  
我們已經設立了打擊洗錢及反恐怖分子資金籌集指引。配合當地的法律和條規, 我們也實施一項合理的打擊洗錢及反恐怖分子資金籌集指引以阻止洗錢, 恐怖分子基金等相關違法活動。我們也委派了規範主管監督打擊洗錢和反恐怖分子資金籌集和打擊洗錢主管管理及申報可疑轉賬活動給有關的法律機構部門。
- we maintain a written client identification and verification program. This program, in compliance to locally applicable laws and regulations as well as FATF recommended standards that ensure the identification and verification of the identities of the clients (and where applicable, the beneficial owners, as defined in the applicable laws and regulations) are conducted to the required standards.  
我們維持了客戶資料核證和核對項目。這個項目是符合了當地的法律和條規以及反洗錢金融行動特別工作组建議的標準以確保客戶(和受益人)資料核證和核對是符合該有的標準的。
- in the event that we know or has reason to suspect that any of the clients or Beneficial Owners is a current or former Political Exposed Person (“PEP”), an immediate family member of a PEP, a person who is widely known (or is actually known by us) to maintain a close personal relationship with any such individual, or a corporation, business or other entity that has been formed by or for the benefit of

such individual, we have conducted and will conduct appropriate enhanced due diligence on the client or Beneficial Owner.

如果我們知道或有理由的懷疑任何客戶和受益人是現任或曾是高敏感度政治人物，直系親戚是或曾是高敏感度政治人物，任何客戶，機構和企業和高敏感度政治人物任務有密切聯繫，我們會對該客戶或受益人進行或將會執行強化盡職調查。

- we are responsible for maintaining the clients and/or beneficial owners (where applicable) record in accordance with the AML/CTF laws and regulations applicable to us, including identification and verification of the clients and/or beneficial owners (where applicable). The information for each clients/beneficial owner is kept on file for at least 5 years after the termination of our business relationship with our clients.

我們有責任維護客戶或受益人的記錄並確保該記錄符合打擊洗錢及反恐怖分子資金籌集指引，包括身份確認和核對（如有需要）。解除合作後，該客戶或受益人資料將會被本公司保存至少5年。

- we have carried out appropriate due diligence to identify the clients and/or beneficial owners (where applicable) and have taken all necessary steps to satisfy ourselves that the clients' funds are derived from legitimate business activities and legitimate sources and that their activities would not contravene applicable AML/CTF laws and regulations.

我們已完成適合的審慎行為以確認客戶或受益人（如有需要）並且已採取適當的措施確保客戶的資金是來自合法的生意交易和來源並符合打擊洗錢及反恐怖分子資金籌集指引。

- if we identify any unusual or suspicious activity which leads us to suspect criminal conduct or money laundering, we report this to our Compliance Department and/or the relevant law enforcement agencies.

如果我們發現可疑或不正當的交易活動並會有機會形成犯罪交易或洗錢，我們將會向規管部門或有關的法律單位報告此舉動。

- we provide AML/CTF training to our employees.

我們提供員工打擊洗錢及反恐怖分子資金籌集指引的訓練課程。

- we have a verification process to ensure that our clients are neither individuals or institutions that appear on applicable sanctions lists, as amended from time to time, of suspected or known terrorists or terrorist organizations, nor parties against whom sanctions have been imposed by United Nations.

我們有一套驗證程序，以確保我們的個人和機構客戶不是出現在適用制裁名單上，也不是被懷疑或已知的恐怖分子組織，也不是聯合國制裁的對象。

- the documentary evidence of the verification processes for the relevant clients will be made available to you upon request to the extent permitted by applicable laws.

如有需要並符合條規，該客戶審核程序過程文件將會提供給你

If you have any questions, please do not hesitate to contact the undersigned at [insert telephone number] or [insert email address].

如有任何問題，請聯絡\_\_\_\_\_ [電話號碼]或[電郵]

Yours faithfully,

致此

For and on behalf of

代表

[insert name of COMPANY/ INTERMEDIARY]

[Name of Compliance Officer or Money Laundering Reporting Officer]

[Title: Compliance Officer or Money Laundering Reporting]

**Appendix 2: Board Resolution Sample**

[Company Name] (“The entity to become a MCEX member”)

[公司名稱] (“成為MCEX會員的實體公司”)

Minutes of meeting of the board of directors (The “BOARD”) of \_\_\_\_\_ (the “Company”) held at \_\_\_\_\_ on \_\_\_\_\_ (Date) at \_\_\_\_\_ (Time)

董事會會議記錄 \_\_\_\_\_ (公司名稱) 舉辦在 \_\_\_\_\_ 於 \_\_\_\_\_ (日期) \_\_\_\_\_ (時間)

**PRESENT (出席者)**

XXX

XXX

XXX

**CHAIRMAN (主席)**

\_\_\_\_\_ (the “Chairman”) was selected chairman of the meeting (the “Meeting”).

\_\_\_\_\_ (主席) 被選為會議的主席。

1. It was resolved that the Company establishes a business relationship and become a member of Micro Connect (Macao) Financial Assets Exchange Co., Ltd. (“MCEX”).  
本公司已通過滴灌通（澳門）金融資產交易所股份有限公司建立業務關係並成為其會員。
2. It was further resolved that the authorized persons of the Company as below are authorized to do the following in the name of, and for and on behalf of, the Company.  
本公司已批准以下授權人士名單允許以公司的名義並代表公司進行以下活動：

Name of Authorized person 被批准/授權人士姓名	Registered email (Company group email is not acceptable) 登記電郵 (不接受公司群組電子郵件)	Registered phone number 登記電話號碼	Type of Identification Documents (i.e., Identity Card or Passport) & Identity Numbers 身份證明文件類型 (如：身份證或護照) 及身份證明號碼	Official capacity in the firm 公司職位 (eg: CEO, CFO, COO)	Signature specimen 簽名樣本

- I. To negotiate and, enter into, execute and sign on behalf of the Company all relevant agreements and/or documents, including the investment or investment related transactions required whether entered in physical form or electronic form or through an online platform.  
代表本公司協商，簽訂所有相關文件和/或協議，包括投資或投資相關交易，無論是以實物形式還是電子形式輸入。
- II. Change of Company details including investment related information such as any amendment on details of bank account, Company information and details of authorized person (Please refer to Appendix A).  
公司資料更改，包括投資相關資料，例如修改任何銀行賬戶資料和授權人資料 (請參閱附錄 A)。

3. It was resolved that the email address \_\_\_\_\_ from the authorized persons list was appointed as the primary contact person/administrator of MCEX membership account if any clarification required.  
如有任何關於會員帳號的疑問，此被批准/授權人士的郵件信箱\_\_\_\_\_被指任為我們的主要聯絡人。
4. It was further resolved that any of the foregoing matters that have been done on or before the date of these resolutions are hereby adopted, ratified, confirmed, and approved in all respects as if such actions had been presented for approval, and approved, by the Directors prior to such actions being taken.  
在這些決議通過之日或之前已經完成任何上述事項特此在所有方面通過、批准、確認和核准，如同這些行動在採取此類行動之前已被董事批准。

Signature 簽名:

\_\_\_\_\_  
(Chairman 主席)

**Appendix A – Change of MCEX member’s Details****附錄 A - 公司資料更改****Legal Entity Name of the Membership:**

會員企業機構名字:

**Membership ID:**

會員編號ID:

**Date:**

日期:

**Section 1: Change of Registered Contact Number 更改註冊電話號碼**

Please provide the following information 請提供以下資料:

Old Contact Number(s) 舊電話號碼:	New Contact Number(s) 新電話號碼:

**Section 2: Change of Business Registered Email Address 更改企業註冊電郵地址**

Please provide the following information 請提供以下資料:

Note: This email is for receiving non-investment related information only

注: 此電子郵件僅用於接收非投資相關信息。

Old Email Address(s) 舊電郵地址:	New Email Address(s) 新電郵地址:

**Section 3: Change of Authorized Person 更改授權人士**

Please provide the following information 請提供以下資料:

**Note:** Please provide a certified true copy\* of the identification documents (e.g.: HKID or passport) and residential and permanent address proof (eg: copy of utility bill or bank statement issued within the last 3 months) as verification for reflecting the changes for review. (Only Other Pooled Investments and Nominee Accounts need to provide the identification residential address proof documents).

注: 請提供經認證的身份證明文件副本 (例如: 香港身份證或護照) 及常居地址證明 (例: 近3個月的電費單或銀行賬單) 作為反映更改以供審核的證明。 (只有另類投資和綜合戶口會員類型需提供身份證明文件和常居地址證明文件)。

Person to be Removed 將會被移除的人士		
Name of authorized person 授權人士姓名	Registered email (Company group email is not acceptable) 登記電郵 (不接受公司群組電子郵件)	Registered Phone Number 登記電話號碼

Person to be Added 將會被添加的人士		
Name of authorized person 授權人士姓名	Registered email (Company group email is not acceptable) 登記電郵 (不接受公司群組電子郵件)	Registered Phone Number 登記電話號碼

#### Section 4: Change of Primary Contact Person 更改主要聯絡人士

Please provide the following information 請提供以下資料:

**Note:** Please provide a certified true copy\* of the identification documents (e.g.: HKID or passport) and residential and permanent address proof (eg: copy of utility bill or bank statement issued within the last 3 months) as verification for reflecting the changes for review. (Only Other Pooled Investments and Nominee Accounts need to provide the identification residential address proof documents).

注: 請提供經認證的身份證明文件副本(例如: 香港身份證或護照)及常居地址證明(例: 近3個月的電費單或銀行賬單)作為反映更改以供審核的證明。(只有另類投資和綜合戶口會員類型需提供身份證明文件和常居地址證明文件)。

Primary Contact Person to be Removed 將會被移除的主要聯絡人士		
Name of authorized person 授權人士姓名	Registered email (Company group email is not acceptable) 登記電郵 (不接受公司群組電子郵件)	Registered Phone Number 登記電話號碼

Primary Contact Person to be Added 將會被添加的主要聯絡人士		
Name of authorized person 授權人士姓名	Registered email (Company group email is not acceptable) 登記電郵 (不接受公司群組電子郵件)	Registered Phone Number 登記電話號碼

\*Note: We will be based on the information provided in Section 4 as the latest version of the identity of primary contact person.

\*註: 我們將根據以上第4段所提供的資訊作為主要聯絡人身份資料的最新版本。

#### Section 5: Change of Correspondence/Operation Address 更改通訊/營運地址

Please provide the following information 請提供以下資料:

**Note:** Please provide a certified true copy\* of the documents (e.g.: Utility Bill) as verification for reflecting the changes for review.

注: 請提供經認證的文件副本(例如: 電費單)作為反映更改以供審核的證明。

Old Correspondence/Operation Address 舊通訊/營運地址:	New Correspondence/Operation Address 新通訊/營運地址:

Signature 簽名:

(MCEX Primary Contact Person or Authorised Person)

MCEX主要聯絡人或授權人

Name:

姓名:

**CERTIFICATION OF DOCUMENTS 文件鑑證**

- Documents must be in one of the following formats - .pdf, .png, .jpg, .jpeg 文件必須是以下格式：  
pdf, .png, .jpg, .jpeg
- Should be visible in full, with all four corners captured (in case it is a photo/scan) 文件必須是清晰和正確的格式（可以是照片或掃描）
- All the KYC documents should be clearly visible & in certified true copies 所有 KYC 文件應該清晰可見，並經過認證為真實副本。
- Certification requirement: Documents that require certification should be certified by the professional below:

文件鑑證要求：文件需要由以下專業人士進行認證：

- Certified public accountant 註冊會計師
- Lawyer 律師
- Chartered secretary (i.e., current member of The Chartered Governance Institute) 特許秘書
- A member of the judiciary 司法人員
- Board of Directors/Managers of the **applied** Regulated Financial Institutions entity in the membership form (**Only applicable for Regulated Financial Institutions**) 會員表格中所申請的受監管機構的董事或經理(只適用於受監管金融機構)
- Notary Public 公證人

In addition, the following should be observed: 另外，以下是認證要求：

- The certifier to clearly state his/her name and capacity 證明者詳細證明他/她的名字和職位
- The certifier to state that the document is a True Copy of the original (or words to similar effect) 證明者證明文件是正本之真實副本
- The certification to be completed within 3 months from the submission date 證書要在截至日期前三個月內提交

**SAMPLE of certification documents 證明文件樣本:**

### Appendix 3: Director Certificate Document Sample

**Director Certificate of [Company Name] (“The entity to become a MCEX member”)**  
**[公司名字]董事證明書 (“成為MCEX會員的實體公司”)**

Date : [date of the letter]  
 日期:

To: Micro Connect (Macao) Financial Assets Exchange Co., Ltd.  
 致: 滴灌通（澳門）金融資產交易所

Dear Sirs/Madams,  
 致先生們/女士們,

**RE: Director Certificate of [Company Name]**  
**關於: [公司名字]董事證明書**

I, \_\_\_\_\_ [Director's Name], being a Director of \_\_\_\_\_ [Company Name (“the Company”)] is authorized to execute the transactions and approve the following matters in accordance with the Company’s constitutional document or other written authorization:

本人, \_\_\_\_\_ [董事姓名], 為 \_\_\_\_\_ [公司名字] 董事授權執行交易和批准以下事項根據公司的章程文件或其他書面授權:

- The Company shall establish a business relationship and become a member of Micro Connect (Macao) Financial Assets Exchange Co., Ltd. (“MCEX”).

本公司將與滴灌通（澳門）金融資產交易所股份有限公司建立業務關係並成為其會員。

- The authorized persons of the Company as below are authorized to do the following in the name of, and for and on behalf of, the Company, and either one of the Authorized Persons from the list below is sufficient.

以下授權人士名單, 並獲授權以本公司名義進行下列活動, 以下任何一位授權人即可。

Name of Authorized person 被批准/授權人士 姓名	Registered email (Company group email is not acceptable) 登記電郵 (不接受公司群組電子郵件)	Registered phone number 登記電話號碼	Type of Identification Documents (i.e., Identity Card or Passport) & Identity Numbers 身份證明文件類型 (如: 身份證或護照) 及身份證明號碼	Official capacity in the firm 公司職位(eg: CEO, CFO, COO)	Signature specimen 簽名樣本

- To negotiate, enter into, execute and sign on behalf of the Company all relevant agreements and/or documents, including the investment or investment related transactions required whether entered in physical form or electronic form or through an online platform.  
 代表本公司協商, 簽訂所有相關文件和/或協議, 包括投資或投資相關交易, 無論是以實物形式或通過電子形式輸入。



- II. Change of Company details including investment related information such as any amendment on details of bank account, Company information and details of authorized person.  
公司資料更改，包括投資相關資料，例如修改任何銀行賬戶資料、公司資料和授權人資料。
3. The email address \_\_\_\_\_ from the authorized persons list was appointed as the primary contact person/administrator of MCEX membership account if any clarification required.  
如有任何關於會員帳號的疑問，此授權人士的郵件信箱\_\_\_\_\_被指任為我們的主要聯人。
4. Any of the foregoing matters that have been done on or before the date are hereby adopted, ratified, confirmed and approved in all respects as if such actions had been presented for approval, and approved, prior to such actions being taken.  
在這些決議通過之日或之前已經完成任何上述事項特此在所有方面通過、批准、確認和核准，如同這些行動在採取此類行動之前已被董事批准。

Yours faithfully,

此致,

For and on behalf of

代表

[insert name of COMPANY 公司名字]

\_\_\_\_\_  
(Signature 簽名)

[Name 姓名: \_\_\_\_\_ ]

[Capacity 職位: Director]