

## Documents / Information Requirement for Opening a Corporate Account

To comply with regulatory requirements and to protect your interest, the Bank will conduct review on your account opening application by collecting the following document(s) and information which enables us to understand each of the relationship that we build and is part of our due diligence process. You are required to provide the basic documents and information below upon account opening :

### Basic Information :

1. Registered name ;
2. Date and place of incorporation, establishment or registration (including address of registered office);
3. Unique identification number (e.g. certificate of incorporation number or business registration number) and document type ) ;
4. Principal place of business / Contact phone number ;
5. Control structure and ownership ;
6. Business nature, sources and destination of fund/ wealth/ income ;
7. Purpose of account and anticipated account activities ;
8. Identification information including full name, nationality, date of birth, unique identification number (e.g. identity card number or passport number) and document type, and residential address (and permanent address if different) of Beneficial Owner(s) and Person(s) Purporting to Act on Behalf of Customer, and name and residential address information of the connected parties of the customer (e.g. Directors).

### Basic Documents :

1. Valid Business Registration Certificate (if applicable ) ;
2. Certificate of Incorporation and subsequent Certificate of Change of Company Name (if applicable ) ;
3. Most current Memorandum and/or Articles of Association (including all up-to-date amendments ) ;
4. Relevant Company search report at company registry or Certificate of Incumbency issued by register agent within 6 months ;
5. Account Mandate and Account Application Form ;
6. Resolution of the Board of Directors to open an account and confer authority on those who will operate it (if any ) ;
7. Ownership structure chart signed by Director / Beneficial Owner / Company Director / Company Shareholder / Company Secretary / Professional Service Provider, company name and place of incorporation of each intermediate company, the Beneficial Owner(s) of the company and percentage of shareholdings (if applicable);
8. The following FATCA and CRS related certificates and relevant supporting documents (if applicable ) :
  - W-8BEN-E Form (Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)); or
  - W-8IMY Form (Certificate of Foreign Intermediary, Foreign Flow-Through entity, or Certain U.S. Branches for United States Tax Withholding and Reporting ) ; or
  - W-9 Form (Request for Taxpayer Identification Number and Certification ) ; and
  - CRS Self-Certification Form–Entity
  - CRS Self-Certification Form–Controlling Person (applicable to Passive Non-financial Entity)
  - CRS Self-Certification Form–Individual (applicable to sole proprietorship )
  - CRS Reasonable Explanation Form Supporting Your Jurisdiction of Tax Residence Entity Account Holder (if applicable )

- CRS Reasonable Explanation Form Supporting Your Jurisdiction of Tax Residence Individual Account Holder / Controlling Person (if applicable )
9. Documents from Beneficial Owner(s), Person(s) Purporting to Act on Behalf of Customer, and connected parties (e.g. Directors, if applicable)
- Identification document (e.g. Hong Kong Identity Card, Passport ) ;
  - Nationality proof e.g. Passport ( for Non-HK Resident ) ;
10. Business proof
- Acceptable business proof includes but not limited to :
- Business documents (e.g. contracts, invoice, purchasing order, bill of lading, airway bill, import and export declaration form, payment records, etc.)
  - Tax record
  - Latest audited financial statement

Note:

- The above information is for reference only to your account application. The Bank may request for supplementary documents or information if necessary.
- Address proof may be required under certain circumstances (e.g. group requirements, as well as other local or overseas legal and regulatory requirements such as SFC) if necessary.
- If any above documents are not applicable to your business form, the equivalent documents should be provided. Please contact the bank staff for further details.
- The required documents for opening an account are subject to regulatory requirements and may vary from time to time. In the event of dispute, the Bank reserves the final decision on the acceptability of all the related documents.
- Beneficial Owner(s) refers to an individual:
  - who owns or controls, directly or indirectly, including a trust or bearer share holding, more than 25% of the voting rights, profits, shares or capitals of a corporation, partnership or trust;
  - who exercises ultimate control over the management of corporation, partnership or trust;
  - or on whose behalf the customer is acting.

