

## Documents 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. You are required to provide the basic documents and information below upon account opening :

### Basic Information :

1. Full name;
2. Registered address and business address;
3. Identification number granted by any applicable official bodies;
4. Legal form, structure and ownership and business nature;
5. Purpose of account and sources of funding/wealth/income;
6. Anticipated account activities including but not limited to transaction volume;
7. Personal information including name, nationality, date of birth, employment information of Directors, Beneficial Owner(s) and Authorized Signatory(ies)

### Basic Documents :

1. Valid Business Registration Certificate;
2. Certificate of Incorporation and subsequent Certificate of Change of Company Name (if applicable);
3. Memorandum and/or Articles of Association and any amending resolutions;
4. Company search record/report within 6 months (Form AR1, NC1, D2A, D1 if applicable);
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 chart signed by Director, showing the current Directors, percentage of shareholdings, company name and place of incorporation of each intermediate company and the Beneficial Owner(s) of the company (if applicable);
8. The following FATCA related certificate document (if applicable):
  - o W-8BEN-E Form (Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities) ); or
  - o W-8IMY Form (Certificate of Foreign Intermediary, Foreign Flow-Through entity, or Certain U.S. Branches for United States Tax Withholding and Reporting ); or
  - o W-9 Form (Request for Taxpayer Identification Number and Certification ).
9. Documents from Directors, Beneficial Owner(s) and Authorized Signatory(ies) (each a "Relevant Person"):
  - o Identity document (e.g. Hong Kong Identity Card, Passport);
  - o Residential address proof <sup>Note 1</sup>;
  - o Permanent address proof (if different from residential address) <sup>Note 1</sup>;
  - o Nationality proof e.g. Passport (for Non HK Permanent Identity Card Holder).

*Note 1 : Example of address proof (the latest address proof document bearing name of the Relevant Person):*

- a recent utility bill issued within the last 3 months;
- recent correspondence from a Government department or agency (i.e. issued within the last 3 months);
- a statement, issued by an authorized institution, a licensed corporation or an authorized insurer within the last 3 months;
- a record of a visit to the residential address by the Bank;
- an acknowledgement of receipt duly signed by the Relevant Person in response to a letter sent by the Bank to the address provided by the Relevant Person;
- a letter from an immediate family member at which the Relevant Person resides confirming that the Relevant Person lives at that address in Hong Kong, setting out the relationship between the Relevant Person and the immediate family member, together with evidence that the immediate family member resides at the same address (for persons who are unable to provide proof of address of their own name);
- mobile phone or pay TV statement (sent to the address provided by the Relevant Person) issued within the last 3 months;
- a letter from a Hong Kong nursing or residential home for the elderly or disabled, which the Bank is satisfied that it can place reliance on, confirming the residence of the Relevant Person;
- a letter from a Hong Kong university or college, which the Bank is satisfied that it can place reliance on, confirming the residence at a stated address;
- a Hong Kong tenancy agreement which has been duly stamped by the Inland Revenue Department;
- a letter from a Hong Kong employer together with proof of employment, which the Bank is satisfied that it can place reliance on and that confirms residence at a stated address in Hong Kong;
- a lawyer's confirmation of property purchase, or legal document recognising title to property; and
- for non-Hong Kong residents, a government-issued photographic driving license or national identity card containing the current residential address or bank statements issued by a bank in an equivalent jurisdiction

where the Bank is satisfied that the address has been verified.

Note 2 :

- The above information is for reference only to your account application. The Bank may request for supplementary documents or information 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 owners refers to an individual:
  - o who owns or controls, directly or indirectly, including a trust or bearer share holding not less than 10% of the voting rights, profits or shares of a corporation, partnership or trust;
  - o who exercises ultimate control over the management of corporation; or
  - o on whose behalf the customer is acting.
- Documents required from each of your director which is a body corporate ("Corporate Director") include (i) items 1-4 under Basic Documents above; and (ii) Board Resolution of the Corporate Director appointing representative(s) to act for and on its behalf.