

Document Checklist for Business Account Opening
- Companies Established/ Incorporated in Hong Kong
商業開戶文件檢查表
- 在港成立/註冊的公司

Sole Proprietorship 獨資公司		
Documents to be provided by the Client 客戶需要提交的文件	Remarks 備註	√
1) Copy of individuals' identity documents 個人身份證明文件副本	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 • For Sole Proprietor 獨資經營者 • All for Authorised Representative(s) 所有授權簽署人 	
2) Copy of residential address proof 住址證明之副本	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 	
3) Copy of Business Registration Certificate 商業登記證之副本	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 	
4) Copy of Business Registration Form obtainable at Inland Revenue Department - Form 1(a) 香港稅務局商業登記署發出的獨資經營商號 - 表格 1(a)	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 	
5) Business Proof 商業證明	<ul style="list-style-type: none"> • Such as invoice, sales contract, latest 3-6 months Bank statements, latest audited report and etc. 例如貨品發票、銷售合同、最近三至六個月內由銀行發出結單、最新審計財務報表等等 	
6) Business Account Opening Form 商務賬戶開立表格		
7) Foreign Account Tax Compliance Act (FATCA) 外國賬戶稅務合規法案文件	<ul style="list-style-type: none"> • For more information about FATCA, please refer to IRS website at www.irs.gov/FATCA 如需了解詳情，請登入美國國家稅務局網頁 www.irs.gov/FATCA 	
8) Common Reporting Standard (CRS) Documents 共同匯報標準文件	<ul style="list-style-type: none"> • For more information about CRS, please refer to HKIRD website at www.ird.gov.hk/eng/tax/dta_aeoi.htm 如需了解詳情，請登入香港稅務局網頁 www.ird.gov.hk/eng/tax/dta_aeoi.htm 	

Partnership 合夥公司		
Documents to be provided by the Client 客戶需要提交的文件	Remarks 備註	√
1) Copy of individuals' identity documents 個人身份證明文件副本	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 • All Beneficial Owner(s) 所有實益擁有人 • All Authorised Representative(s) 所有獲授權代表 • 2 Senior Officer(s) 2 位高級管理人員 	
2) Copy of residential address proof 住址證明之副本	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 • All Beneficial Owner(s) 所有實益擁有人 	
3) Copy of Business Registration Certificate 商業登記證之副本	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 	
4) Copy of Business Registration Form obtainable at Inland Revenue Department - For General Partnership Form 1(c) 香港稅務局商業登記署發出的合夥經營商號 - 表格 1(c)	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 	
5) Document of the company's membership of a relevant professional or trade association or partnership deed 相關專業或行業協會會員身份的證明文件或合夥契約	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 	
6) Business Proof 商業證明	<ul style="list-style-type: none"> • Such as invoice, sales contract, latest 3-6 months Bank statements, latest audited report and etc. 例如貨品發票、銷售合同、最近三至六個月內由銀行發出結單、最新審計財務報表等等 	
7) Account Opening Form 商務賬戶開立表格		
8) Foreign Account Tax Compliance Act (FATCA) 外國賬戶稅務合規法案文件	<ul style="list-style-type: none"> • For more information about FATCA, please refer to IRS website at www.irs.gov/FATCA 如需了解詳情，請登入美國國家稅務局網頁 www.irs.gov/FATCA 	
9) Common Reporting Standard (CRS) Documents 共同匯報標準文件	<ul style="list-style-type: none"> • For more information about CRS, please refer to HKIRD website at www.ird.gov.hk/eng/tax/dta_aeoi.htm 如需了解詳情，請登入香港稅務局網頁 www.ird.gov.hk/eng/tax/dta_aeoi.htm 	

Limited Company 有限公司		
Documents to be provided by the Client 客戶需要提交的文件	Remarks 備註	√
1) Copy of individuals' identity documents 個人身份證明文件副本	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 • All Beneficial Owner(s) 所有實益擁有人 • 2 Director(s) 2 位董事 • All for Authorised Representative(s) 所有授權代表 • 2 Senior Officer(s) 2 位高級管理人員 	
2) Copy of Certificate of Incorporation (CI) and subsequent Certificate of Change of Name (CICN) (if applicable) 公司註冊證書及其後的公司更改名稱證書之副本 (如適用)	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 	
3) Copy of Business Registration Certificate 商業登記證之副本	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 	
4) Copy of Latest Annual Return (Form AR1/NAR1) 最新的周年申報表之副本 (表格 AR1 / NAR1)	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 	
5) Copy of Latest Notification of Change of Secretary and Director (Form D2A/ND2A), Return of Allotments (Form SC1/NSC1) and/or Instrument of Transfer (if applicable) 所有其後的秘書及董事更改通知書 (表格 D2A / ND2A)、股份分配申報表 (表格 SC1 / NSC1) 及 / 或轉讓文書詳列現任主要股東的資料之副本 (如適用)	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 	
6) Incorporation Form (NC1/NNC1) or (NC1G/NNC1G) 法團成立表格之副本 (表格 NC1/NNC1) 或 (表格 NC1G/NNC1G)	<ul style="list-style-type: none"> • For newly established company only 只適用於新成立的公司 • Certified true by suitable certifier 經適當的認證人認證之副本 	
7) Copy of Memorandum and Articles of Association (M&A) / Articles of Association (A&A) and any amending resolutions 公司組織章程 / 公司章程細則及任何在修訂中的決議之副本	<ul style="list-style-type: none"> • Certified true by suitable certifier 經適當的認證人認證之副本 	

Limited company (continued) 有限公司 (續)		
Documents to be provided by the client 客戶需要提交的文件	Remarks 備註	√
8) Ownership Structure Chart (if applicable) 公司架構圖(如適用)	<ul style="list-style-type: none"> Ownership structure chart showing the company name, ownership / voting right %, the country of incorporation / registration / formation, the country of business address, listing / regulation status (where applicable) of each Intermediate Owner up to the Ultimate Beneficial Owners of the company and specifying the issuance of bearer shares in the chain of ownership (including the company, all Intermediate Owners and Ultimate Beneficial Owners), certified by director. Indicate if there are family members among the Beneficial Owners and the family's total collective % shareholding 公司架構圖顯示每家中介控股公司的公司名稱、其擁有公司股份的擁有權/投票權比率、成立/註冊/組建國家、營業/營運地址的國家、上市/監管狀態(如適用)及最終實益擁有人，並註明各層股權架構中已發行的不記名股票類別(包括開戶公司、所有中介控股公司及最終實益擁有人)，並由董事認證。另表明實益擁有人是否家庭成員及其家族的集體股權份數，如適用 	
9) Business Proof 商業證明	<ul style="list-style-type: none"> Such as invoice, sales contract, latest 3-6 months Bank statements, latest audited report and etc. 例如貨品發票、銷售合同、最近三至六個月內由銀行發出結單、最新審計財務報表等等 	
10) Account Opening Form 商務賬戶開立表格		
11) Foreign Account Tax Compliance Act (FATCA) 外國賬戶稅務合規法案文件	<ul style="list-style-type: none"> For more information about FATCA, please refer to IRS website at www.irs.gov/FATCA 如需了解詳情，請登入美國國家稅務局網頁 www.irs.gov/FATCA 	
12) Common Reporting Standard (CRS) Documents 共同匯報標準文件	<ul style="list-style-type: none"> For more information about CRS, please refer to HKIRD website at www.ird.gov.hk/eng/tax/dta_aeoi.htm 如需了解詳情，請登入香港稅務局網頁 www.ird.gov.hk/eng/tax/dta_aeoi.htm 	

Notes:

- A copy of Passport must be provided where the individual does NOT hold a HK Permanent Identity Card.
任何人如非持有香港永久居民身份證，則必須提供護照副本。
- Suitable certifier may include:
適當認證人可包括
 - a specified intermediary*;
特定的中間人*;

- b) a member of the judiciary in an equivalent jurisdiction;
在同等司法管轄區內的司法機構成員;
 - c) an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity; and
簽署身份證明文件的國家的大使館、領事館或高級委員會的官員; 和
 - d) a Justice of the Peace
太平紳士。
3. If certified documents are not in English or Chinese, an English translation of the same should be provided.
如文件正本非英文或中文語言，須另外提交翻譯文本。
4. The bank may request you and/or connected parties to provide further account opening details and documents when necessary.
如有需要，本行會要求客戶及 / 或有關人士提供其他開戶資料及文件。
5. Documents submitted will be subject to the review and approval of the Bank. The Bank has the sole and absolute discretion in deciding whether to accept your account opening application and is not obliged to provide any reason for its decision. Documents submitted will not be returned irrespective of whether the account is eventually opened.
貴公司所提交的文件將經過本行檢查及批核，並全權由本行酌情決定是否接受貴公司的開戶申請，而毋須提供任何理由。無論戶口最終是否開立，較早前所提交的文件將不予退還。
6. If you have any questions regarding your application or you wish to ask for a review regarding an unsuccessful application, please contact your Relationship Manager or our Customer Service Representative at 3665 3665.
如貴公司對申請進度有任何問題或希望本行重新檢閱貴公司的開戶申請，請聯絡客戶經理或致電本行的客戶服務熱線 3665 3665。

* The specified intermediary is any of the following persons who is able to satisfy the financial institution or the Designated Non-Financial Businesses and Professions ('DNFBP') that they have adequate procedures in place to prevent money laundering and terrorist financing including an accounting professional, an estate agent, a legal professional, and a Trust and Company Service Provider ('TCSP') licensee.

*指定的中介人是能夠滿足金融機構或指定的非金融企業和專業 ('DNFBP') 的任何人，他們有適當的程序來防止洗錢和恐怖主義融資，包括會計專業人士，地產代理，法律專業人士以及信託和公司服務提供商 ('TCSP') 被許可人。

Definition of the Connected Parties:

有關人士定義：

1. Beneficial Owner 實益擁有人：

In relation to a corporation, means an individual who: 就法團而言，指以下個人：

- a) owns or controls, directly or indirectly, including through a trust or bearer share holding, more than 25% of the issued share capital of the corporation; or
直接或間接地擁有或控制（包括透過信託或持票人股份持有）該法團 25% 以上的已發行股本；或
- b) is directly or indirectly, entitled to exercise or control the exercise of more than 25% of the voting rights at general meetings of the corporation; or
直接或間接地在該法團的會員大會上有權行使或支配 25% 以上的投票權；或

- c) exercises ultimate control over the management of the corporation; or
行使對該法團的管理最終的控制權；或
- d) if the entity is acting on behalf of another person, means the other person.
如該法團是代表另一人行事，指該另一人。

In relation to a partnership, means an individual who: 就合夥公司而言，指以下個人：

- a) is entitled to or controls, directly or indirectly, more than a 25% share of the capital or profits of the partnership; or
直接或間接地有權攤分或控制該合夥公司 25% 以上的股票權；或
- b) is directly or indirectly, entitled to exercise or control the exercise of more than 25% of the voting rights at general meetings of the partnership; or
直接或間接地在該合夥公司有行使或支配 25% 以上的投票權；或
- c) exercises ultimate control over the management of the partnership; or
行使對該合夥公司的管理最終的控制權；或
- d) if the partnership is acting on behalf of another person, means the other person.
如該合夥公司是代表另一人行事，指該另一人。

In relation to an unincorporated body other than a partnership (i.e. including a sole proprietorship), means an individual who: 就除合夥外的不屬法團團體而言（包括獨自公司），指以下個人：

- a) ultimately owns or controls the unincorporated body; or
最終擁有或控制該不屬法團團體的個人；或
- b) if the unincorporated body is acting on behalf of another person, means the other person.
如該不屬法團團體是代表另一人行事，指該另一人。

2. Senior Officer 高級管理人員：

Senior Officer is a legal person holding a senior management position, which include (without limitation) 高級管理人員是任何擔任高級管理職位的法人，包括（但不限於）：

- a) Executive Director 執行董事
- b) Chairman of the Board 董事會主席
- c) Chief Executive Officer (CEO) 行政總裁
- d) Chief Financial Officer (CFO) 財務總監
- e) Managing Partner 執行合夥人

3. Authorised Representative 獲授權代表：

Authorised Representative is a legal person having executive authority, e.g. the Powers of Attorney and authorised signatory. Authorised Representative is typically appointed by the Board of Directors or Senior Officers.

獲授權代表是掌握執行權力的法人，如或授權人乃授權簽署人。獲授權代表一般是獲董事會或高級管理人員委任。