

DOCUMENTATION FOR ACCOUNT OPENING 开户文件

For the reference of customers to open accounts with Branches of HSBC Bank (China) Company Limited

供于汇丰银行(中国)有限公司各分支机构开立账户的客户参考

Companies or other enterprises incorporated or established in Mainland China (including foreign-invested and local enterprises)

在中国内地注册的公司或其它企业 (包括外商投资企业和中资企业)

This checklist applies to companies and non-company enterprises, but does not apply to partnerships.

本清单适用于公司和非公司的企业，但不适用于合伙企业。

1. Business License issued by the State Administration for Industry and Commerce (original)
国家工商行政管理局颁发的营业执照 (正本原件)
2. Certificate of Approval issued by Foreign Economic and Trade Commission (or Ministry of Commerce) and/or other competent authorities (original)
外经贸委 (或商务部) 及/或其它有关主管部门颁发的批准证书 (原件)
3. Enterprise Code Certificate issued by the State Bureau for Technology Supervision (original)
国家技术监督局颁发的企业组织机构代码证 (正本原件)
4. State and Local Tax Registration Certificate (original)
国税及地税税务登记证 (正本原件)
5. Memorandum/Articles of Association and amending supplements (if any) *
公司章程/及有关修订文件 (若有)

**If the original document listed in the above item 5 cannot be provided, please provide a statement on the first page of the copy of such document certifying that the copy is a complete and true copy of the original document and specifying the number of pages, with the signature/chop of the legal representative or his/her delegate or the company's official chop.*

若不能提供以上第 5 项文件原件，请在提供的复印件第一页上声明该复印件是原件的完整真实复印件并注明页数，并在声明下面加上法定代表人或其授权人的签字/盖章或公章。

6. List of directors (with the company's official chop or signature/chop of the legal representative or his/her delegate)
董事会成员名单 (需加盖公章或法定代表人或其授权人的签字/盖章)
7. Completed mandate / board resolution (signed with a quorum of the board) or

equivalent document issued by the decision-making body of the company (original)

填写完整的户口授权书或董事会决议(由董事会法定人数签署),或公司的内部决策机构出具同类文件(原件)

8. Following documents from all directors** signing the mandate/resolution as listed in item 7, authorized account signatories, principal shareholders*** and beneficial owners:

由在以上第 7 项所述授权书/决议上签字的董事**、授权签字人、主要股东*** 及实益拥有人提供的下述文件:

-Identification document 身份证明文件

-Former name/alias proof (if any) 曾用名/别名证明(若有)

-Nationality proof 国籍证明

- Proof of residential address (and permanent address if different) 居住地址证明 (及永久地址证明,若不同于居住地址)

***In respect of the verification on the identity of the directors signing the mandate/resolution, if there are fewer than 2 directors signing the mandate/resolution or if there is no legal representative signing the mandate/resolution, additional director(s) and/or the legal representative should provide the documents listed in this item 8, to ensure that at least two directors (including the legal representative) of the company provide the documents listed in item 8. Of course, in case of a one-director company, only the identity of that director will be verified.*

就核实董事的身份而言,若少于两名董事签署授权书/决议或法定代表人未签署授权书/决议,其他董事和/或法定代表人亦应提交本第 8 项所列文件,以确保至少两名董事(包括法定代表人)提供了本第 8 项所列文件。当然,若公司只有一名董事,则只核实该董事的身份。

****Principal shareholder(s) here refer(s) to the natural person(s) entitled to exercise or control the exercise of 10% or more of the voting rights of the company. The same principle applies to beneficial owner(s).*

主要股东指有权行使公司 10%或以上的投票权或控制该等投票权的行使的人士。前述标准也适用于实益拥有人的认定。

For a company with a multi-layer ownership structure (i.e. with several entities at the intermediary levels before reaching the ultimate individual owner(s)), please provide an organization chart showing % shareholdings of each entity and each stage in the ownership chain of the corporate structure. Please affix the signature/chop of the legal representative or his/her delegate or the company's official chop on the organization chart.

如属多层股东结构(即在公司和最终受益人之间还有多层股东结构),请提供股权结构图,表明持股比例及每一层次的股权结构。并请在该文件上加上法定代表人或其授权人的签字/盖章或公章。

If the original document listed in the above item 8 cannot be provided, please provide a statement on the first page of the copy of such document certifying that

the copy is a complete and true copy of the original document and specifying the number of pages, with the signature/chop of the legal representative or his/her delegate or the official chop.

若不能提供以上第 8 项文件原件,请在提供的复印件第一页上声明该复印件是原件的完整真实复印件并注明页数,并在声明下面加上法定代表人或其授权人的签字/盖章或公章。

9. Company search result (original)
公司注册查询结果 (原件)
10. Completed Business Customer Information/Account Opening Form (original)
填写完整的商业客户开立帐户表格 (原件)
11. Specimen signatures/chops (financial chop is required for RMB account) (original)
预留印鉴 (人民币户需同时留财务章) (原件)
12. Confirmation letter to certify company's English name (original) (using company letter head and with official chop or signature/chop of the legal representative or his/her delegate)
企业英文名称确认函 (原件) (需使用公司信纸并加盖公章或法定代表人或其授权人的签字/盖章)
13. Letter of introduction from a bank or introducer (current/cheque account only) (original)
银行或其他介绍人介绍信 (只适用于支票账户) (原件)
14. Basic information for enterprises issued by SAFE (with company's official chop)
对公单位基本情况表 (加盖公章)

Additional documents required for foreign currency account

开立外币账户的附加文件

- Account opening registration certificate issued by SAFE (State Administration for Foreign Exchange) (original)
国家外汇管理局签发的开户通知书/核准件 (原件)
- Foreign exchange certificate issued by SAFE (original)
国家外汇管理局签发的外汇登记证/外汇账户使用证 (原件)
- FCY Account Card issued by SAFE (original)
国家外汇管理局制发的外汇账户管理卡 (原件)

Additional documents required for RMB account

开立人民币账户的附加文件

Basic Account

人民币基本账户

- Completed account opening application form in triplicate (with signature/chop of legal representative or his/her delegate plus the company's official chop)
填写完整的一式三联开立单位银行结算账户申请书 (必须加盖公章和法定代表人或其授权人签字/盖章)

注 : RMB300.00 (commission of RMB IC card charged by local PBOC)
人民币 300 元 (各地人民银行制作人民币 IC 卡手续费)

General Account

人民币一般账户

- Completed account opening application form in duplicate (with signature/chop of legal representative or his/her delegate plus the company's official chop)
填写完整的一式两联开立单位银行结算账户申请书 (必须加盖公章和法定代表人或其授权人签字/盖章)
- Basic account registration card issued by PBOC (original)
人民银行制发的基本存款账户登记卡 (原件)
- Loan Contract (original) or self-declaration/evidence of account purpose (in case of self-declaration, such document should be with the company's official chop)
因向银行借款而开立账户, 请出具借款合同 (原件); 因其他
结算需要开立账户, 请出具有关声明/证明 (若为公司自行声明, 需加盖公章)

Note

- **Should any of the Authorised Signatories be corporate entities, the following details and documents must also be submitted:**
 - ◆ the constitutional documents of the Authorised Signatory as if it were a customer of the Bank
 - ◆ certified true copy of the Board Resolution from the Corporate Directors/Authorised Signatories specifying the Authorised Signatories who have the power to act for them
 - ◆ list of authorized signatories' specimen signatures (which must be verified by their bankers)

如有任何授权签字人为公司, 还必须提交下列资料及文件:

 - ◆ 该公司的成立文件 (与若该公司为本行客户时, 该公司需提交的成立文件相同)
 - ◆ 该公司董事会决议的经证明真实副本列出有权代表该公司行事的授权签字人
 - ◆ 所有授权签字人的签字样本 (签字由他们的往来银行证明)
- **HSBC staff shall witness signatures appearing on the account opening forms.**
开户文件上的签字需由本行职员见证。
- **If the account opening entity is not an independent legal person (e.g. a branch office of a company), all the above documentation to be certified by the legal representative should be certified by the responsible person stated in the business license.**
如开户单位并非独立法人 (如分公司等), 则以上文件中要求法定代表人证明该文件复

印件为真实完整副本的，均应由营业执照上的负责人作出该等证明。

- Please note that while the above documentary requirements are applicable in general, under certain circumstances, the Bank may request additional and/or different documents to satisfy regulatory and/or due diligence requirements.

请注意以上所列文件在一般情况下适用，在具体处理各开户申请时，本行可能提出额外和/或不同的文件要求以满足法律法规和/或尽职调查要求。

- Please notify us promptly of any subsequent changes to the above information after the account has been opened and provide relevant document proof.

账户开立以后，已递交的信息如有任何更改，请及时通知本行并提供相应证明材料。