

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

Overseas companies (including Hong Kong SAR, Macau SAR and Taiwan) 境外注册公司 (境外包括香港特别行政区, 澳门特别行政区及台湾)

1. Certificate of Incorporation (and subsequent certificate of change of name, if any) or equivalent document
公司注册证 (及公司名称变更证书, 若有) 或同类文件
2. Business Registration Certificate/Business License or equivalent document
商业登记证/营业执照或同类文件
3. Certificate of Good Standing (Original)

**Applicable if the corporate customer is a company incorporated in an offshore tax haven country (e.g. British Virgin Islands/Bahamas/Cayman Islands/Mauritius) and has been incorporated for more than 12 months.*

适用于在境外避税地成立超过 12 个月的公司。

4. Appointment of First Directors and Secretary by the Subscriber(s) to the M&A plus subsequent amending resolution (if any) or (for HK-incorporated companies) last annual return Form AR1 (or Form D1) plus all subsequent Form D2, Return of Allotments, Instrument of Transfer detailing the particulars of the Directors and Principal Shareholders***, or equivalent documents
首任董事及公司秘书的委任资料名单连同其后有关的修订决议(若有),或(若为在香港注册成立的公司)最近一周年的周年申报表表格 AR1 (或表格 D1) 连同所有其后的表格 D2、股份分配申报表及转让文书详列各董事和主要股东***的资料, 或同类文件
5. Following documents from all directors signing the mandate/resolution as listed in item 8 below**, authorized account signatories, principal shareholders*** and beneficial owners:
由在以下第 8 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, if there are fewer than 2 directors signing the mandate/resolution or if there is no managing director*

signing the mandate/resolution, additional director(s) and/or the managing director should provide the documents listed in this item 5, to ensure that at least two directors (including the managing director) of the company provide the documents listed in item 5. 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/决议或董事总经理未签署授权书/决议，其他董事和/或董事总经理亦应提交本第5项所列文件，以确保至少两名董事（包括董事总经理）提供了本第五项所列文件。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 having multi-layers of ownership, please provide an organization chart (certified by the Director) showing % shareholdings of each layer of entity.

如公司有多层拥有人，请提供经董事确认的包含每层公司股份拥有人（包括其股权比例）的公司组织结构图。

If the original documents listed in the above items 1, 2, 4 and 5 cannot be provided, the copies of such documents should be certified as true copies by a lawyer, CPA, notary public or banker acceptable to the Bank. Certification format: Certifier's signature should be placed on the first page of the copy document and the number of pages should be recorded.

若不能提供以上第一、二、四和五项文件原件，所提供的复印件应由本行所接受的律师、会计师、公证机关或其它银行证明该复印件是原件的完整真实复印件。证明格式：证明人应在文件复印件首页签字，并注明页数。

6. Certificate of Incumbency issued by Registered Agent or Director's Declaration (in the form prescribed by the Bank) and each of these has to be certified by a lawyer or CPA acceptable to the Bank in the form of a Certification Letter (in the form prescribed by the Bank).

由注册代理人发出或由董事申报的董事、股东证明书（其中董事申报的董事、股东证明书格式由本行提供），该等文件须由本行所接受的律师、会计师发出证明信核实该等文件内容（证明信格式由本行提供）。

7. Proof of business (e.g. business license, LC copy, audited financial statement, invoice, contract, etc.)

业务证明（例如：商业牌照、信用证、经审计的财务结单、发票、合同等）

8. Completed mandate / board resolution (original)
填写完整的账户授权书或董事会决议（原件）

9. Confirmation (in the form prescribed by the Bank) that the company is not acting on behalf of another person as trustee, nominee or agent, signed by a director of

the company (original)

公司确认其并非作为其他人的信托受托人、被指定人或代理人行事的声明，由董事签字（声明的格式由本行提供）（原件）

10. Completed Business Customer Information/Account Opening Form (original)

填写完整的商业客户开立账户表格（原件）

11. Specimen signatures/chops (original)

预留印鉴（原件）

12. Company search result (original)

公司注册的查询结果（原件）

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）

Additional documents required for special FCY account for foreign investors 开立外国投资者外汇专用账户的附加文件

- 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）

- In the case of foreign direct investment account-investment related:-
若为外国投资者专用外汇账户-投资类账户：-
 - Non-legal person business license (original)
非法人营业执照（原件）
 - Foreign exchange certificate issued by SAFE (original)
国家外汇管理局签发的外汇登记证（原件）

- In the case of foreign direct investment account - acquisition-related/expenses-related/guaranty-related:-
若为外国投资者专用外汇账户-收购类/费用类/保证类账户：-
 - Notification issued by SAIC of Name Registration of the company to be established (original)
工商局签发的待成立公司的企业名称预先核准通知书（原件）

Note

- **Should any of the Directors or Authorised Signatories be corporate entities, the following details and documents must also be submitted:**
 - Documents listed in items 1, 2 and 4 above
 - 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)

如有任何董事或授权签字人为公司，还必须提交下列资料及文件：

- 本文件第 1、2 和 4 项所列文件
- 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我行职员见证。

- 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。