

Documents Required for Account Opening - Limited Company Incorporated in Overseas 開立海外註冊有限公司賬戶之所需文件

1. Certificate of Incorporation and subsequent Certificate of Change of Name (if applicable)
公司註冊證書及其後的公司更改名稱證書（如適用）
2. Certificate of Registration of Non-Hong Kong Company (Applicable for those companies registered in Hong Kong)
非香港公司註冊證明書（適用於在香港有註冊之公司）
3. Valid Business Registration Certificate (Applicable for those companies having business activities in Hong Kong)
有效商業登記證（適用於在香港經營業務之公司）
4. Memorandum of Association and Articles of Association / Articles of Association
組織章程大綱及細則／章程細則
5. Certificate of Incumbency issued within last 6 months by Registered Agent / Official Company Search Report issued within last 6 months in country of incorporation
由公司註冊代理人於最近六個月發出的註冊資料證明書／由當地公司註冊處於最近六個月發出的公司查冊
6. Ownership Chart issued and certified within last 6 months by director. The ownership chart should describe the intermediate layers up to the beneficial owners, including the company name, place of incorporation, ownership right ratio (applicable to multiple layer company)
由董事於最近六個月發出及認證的公司擁有權架構圖，有關擁有權架構圖須顯示各中介層的公司名稱、公司註冊地、持股比例及最終實益擁有人（適用多層結構公司）
7. Certified Copy of Minutes of the Meeting Regulating the Conduct of the Bank Account OR Certified Extract of Minutes of Resolutions (The Bank Form)
開設銀行賬戶的決議案會議記錄證明本或經核證之決議書（本行表格）
8. Identification Document of Director(s) / Authorized Signatory(ies) / Beneficial Owner(s)
董事／授權簽字人員／實益擁有人之身份證明文件
9. Company Chop
公司印章

Note 註：

- (a) Number of Directors needed to form a quorum and authorized signatories must be present for the account opening.
不少於法定開會人數的董事及授權簽字人員必須於開立賬戶時出席。
- (b) A beneficial owner is defined as an individual who:
實益擁有人的定義界定為符合以下說明的個人：
 - (1) in relation to a corporation:
就法團而言是指：
 - (i) 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)該法團已發行股本的 25%以上；或
 - (ii) 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
直接或間接地有權行使在該法團的成員大會上的投票權的 25%以上，或支配該比重的投票權的行使；或
 - (iii) 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
 - (iv) the corporation is acting on behalf of another person, means the other person.
該法團是代表另一人行事，指該另一人。
 - (2) in relation to a partnership:
就合夥人而言指：
 - (i) 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的資本或利潤的 25%以上；或
 - (ii) is, directly or indirectly, entitled to exercise or control the exercise of more than 25% of the voting rights in the partnership; or
直接或間接地有權行使在該合夥的投票權的 25%以上，或支配該投票權的行使；或
 - (iii) exercises ultimate control over the management of the partnership; or
行使對該合夥的管理最終的控制權；或
 - (iv) if the partnership is acting on behalf of another person, means the other person.
如該合夥是代表另一人行事，指該另一人。
 - (3) in relation to a Trust:
就信託而言是指：
 - (i) is a beneficiary or a class of beneficiaries of the Trust entitled to a vested interest in the trust property, whether the interest is in

possession or in remainder or reversion and whether it is defeasible or not; or

有權享有信託財產的既得權益的受益人或某類別受益人，而不論該人是享有該權益的管有權、剩餘權或復歸權，亦不論該權益是否可予廢除；或

- (ii) is the settlor of the Trust; or
該信託的財產授予人；或
- (iii) is trustee of the Trust; or
該信託的受託人；或
- (iv) is a protector or enforcer of the Trust; or
該信託的保護人或執行人；或
- (v) an individual who has ultimate control over the Trust.
對該信託擁有最終控制權的個人。

(4) in relation to a person not falling within any of the above:
就不屬上述所指的人而言指符合以下任何一項說明的個人：

- (i) ultimately owns or controls the person; or
最終擁有或控制該人的任何人；或
- (ii) the person is acting on behalf of another person, means the other person
是代表另一人行事，指該另一人。

(c) Should the beneficial owner(s) of the company be a trust, one of the following documents should be provided for verification:
若實益擁有人為信託，須提供以下其中一項用以核實信託之資料文件**：

- (1) trust deed or similar instrument;
信託契據或類似文書；
- (2) record of an appropriate register in the relevant country of establishment;
成立信託或其他類似法律安排的相關國家的合適登記冊紀錄；
- (3) written confirmation from a trustee acting in a professional capacity;
由以專業身分行事的受託人簽發的確認書；
- (4) written confirmation from a lawyer who has reviewed the relevant instrument;
由已覆核相關文書的律師簽發的確認書；
- (5) written confirmation from a trust company which is within the same financial group as our Bank, if the trust concerned is managed by that trust company.
由與本行屬同一金融集團的信託公司簽發的確認書（如有關信託由該信託公司管理）。

** The documents should include the name of the trust, date of establishment/settlement, the governing law applicable under the country / region of establishment and the jurisdiction specified in the trust deed, the identification number (if any) granted by any applicable official bodies and document type, address of registered office (if applicable), detailed information regarding its trustee(s), settlor(s), protector(s), enforcer(s), beneficiary(ies) and individual(s) who has/have ultimate control over the trust and beneficiary(ies).

If the aforementioned persons are individuals, proof of identity for those individuals must be provided. If the aforementioned persons are legal entities, proof must be provided regarding the relevant documentation requirements as stipulated by our Bank for the particular company type.

有關資料文件之內容須包括信託名稱、成立／結算日期、成立國家／地區及信託文書所記載的司法管轄區下監管安排的法律、任何官方機構授予的識別號碼（如有）及文件類別、註冊辦事處地址（如適用），及有關其受託人（等）、財產授予人（等）、保護人（等）、執行人（等）、受益人（等）及對信託擁有最終控制權的個人（等）的詳細資料。

如上述人士屬個人，須提交有關人士之身份證明文件；如上述人士屬法團，則須按本行對該特定類型公司之相關文件要求提供證明。

(d) Apart from the documents listed above, the Bank may request the customer to provide further information and documents for account opening, if necessary.
除上述文件外，如有需要，本行或會要求客戶提供其他資料及文件作開戶用途。

(e) The copies of documents should be certified by suitable certifiers. The certifier must view the original documents and provide the following details on the first page of the copies of documents: (i) Name, Position/ Capacity and Signature of the certifier; (ii) Number of pages (if more than one page) and Date of certification; (iii) State that it is a complete and true copy of the original or Certified True Copy (or words to similar effect).

客戶提供之開戶文件副本必須經由適合的證明人認證。證明人必須查閱文件正本，並在該文件之副本首頁上註明下列資料：(i)清楚列示合適證明人之姓名、其職位／身份及其簽署；(ii)整份文件之頁數（如多於一頁）及認證文件日期；(iii)該文件的副本為該正本的完整及真確副本或具類似效力的字詞。

Suitable Certifier includes:

適合的證明人包括：

- Solicitor Practicing in Hong Kong;
在香港執業的律師；
- Certified Public Accountant Practicing in Hong Kong;
在香港執業的會計師；
- A current full member of the Chartered Governance Institute Practicing in Hong Kong;
在香港執業的特許公司治理公會的現行會員；
- Designated Staff of Shanghai Commercial Bank Limited;
指定的上海商業銀行有限公司職員；
- Solicitor, Professional Accountant, Auditor or Notary Public Practicing in FATF countries or other jurisdictions accepted by the Bank.
「FATF」成員國或本行接受的其他司法管轄區執業的律師、專業會計師、核數師或公證人。

(f) If the certified documents are not in English or Chinese, an English translation of the same should be provided.
如文件正本乃非英文或中文語言，須另外提交英文之翻譯文本。

(g) Our Bank reserves the ultimate discretion regarding the acceptance or rejection of relevant account opening application.
本行將保留是否接納有關開戶申請之最終決定權。